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The Role Of Educational Leadership In Managing A Change Process.

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University of the Pacific

THE ROLE OF EDUCATIONAL LEADERSHIP IN MANAGING A CHANGE PROCESS

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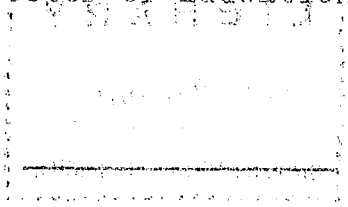

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by

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BURNELL EVART JOHNSON

THE ROLE OF EDUCATIONAL LEADERSHIP IN MANAGING A CHANGE PROCESS

Abstract of Dissertation

PURPOSE: The purpose of this study was to select a sequence of steps as a model change process and then compare that sequence with the steps followed by the Berkeley Unified School District during the change process embodied in the development and first year's implementation of its Experimental Schools Project.

DELIMITATIONS: The study was limited to the Experimental Schools Project of the Berkeley Unified School District from December 28, 1970, through June 30, 1972. That project involved approximately one-third of the students and teaching staff of the district.

PROCEDURES: The primary source of data was a structured in-depth interview with eighteen experimental school leaders, seven writer-developers of the project, and seven central project staff. The responses were clustered in relation to steps in the process model. The study's four questions were answered on the basis of whether or not steps in the model had been followed. Secondary sources included district documents, direct observation, and unstructured talks and interviews with other project participants.

FINDINGS: The requirements of some steps in the model were judged satisfied but the requirements of a majority of the steps were not. A majority of the respondents expressed a negative evaluation of the management of the change process exemplified by the project.

CONCLUSIONS: The district's leadership did not (1) treat the development and implementation of the project as a special organizational problem requiring adherence to the basic principles of the change process model, (2) take actions manifesting the belief that having understanding and agreement on common goals among its change implementers was required when attempting a major change, (3) take actions to reduce staff emotional stresses during the period of major change, and (4) act on the principles that some additional communication and training were needed by implementers prior to the start of the district's Experimental Schools Project.

RECOMMENDATIONS: Some of the major recommendations are:

1. Prior to need, school districts should develop guidelines which provide for the implementation of any extensive change.
2. Once completed, these guidelines should receive periodic review and updating by the district's leadership.
3. Training for educational leaders should be analyzed to verify that extensive consideration is given to the planning aspect of managing change and to some effective processes of change.
4. District leadership should assume that staff members are not knowledgable about the management of a process of change.
5. Federal agencies should assume greater responsibility for providing help to districts involved in change efforts.
6. Further studies should be made of educational change which will contribute knowledge to a theory of educational change.

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Chapter 1

INTRODUCTION TO THE STUDY

INTRODUCTION

Educational leadership continues to face the complex problems generated by student disenchantment, community tensions, and teacher aggressiveness.[1] Each of these problems presents the administrator with variations on the general theme of societal demands for change.

Havighurst reports that the rapid turnover among the office-holding leaders of education has probably resulted from a widespread uneasiness in America about the state of education.[2] However, he presents a review of the past decade's circumstances and expresses the belief that many conditions will be better for meeting these problems during the 1970's than they were in the 1960's because responsible leadership will be welcomed and be supported by the people.[3] If that be the case, how might the educational leader act so as to demonstrate responsible leadership? How might the leader function in effectively administering change?

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[1]Robert J. Havighurst, "Educational Leadership for the Seventies," Phi Delta Kappan, 13:406, March, 1972.

[2]Ibid., p. 403. [3]Ibid., pp. 403-406.

BACKGROUND

The setting for this investigation is the Berkeley Unified School District, located in the city of Berkeley, California.

The city of Berkeley is part of the San Francisco metropolitan area. During the period which is the focus of this study its population was about 120,000 people, 67% of whom were white, 25% black, and the remaining 8% Oriental, Mexican-American and American Indians.[4]

The Berkeley School District's boundaries are coterminous with the city, and its school population of about 15,500 students, grades kindergarten through twelve, had the following racial distribution in September, 1970: White - 43.3%; Black - 44.7%; Oriental - 8.5%; Chicano - 3.4%; and, American Indian - 0.1%.[5]

The University of California is considered the major industry in Berkeley, although there is an industrial complex of more than three hundred firms. The geographic location in combination with the educational and industrial complex contributes a rather unique urban-suburban environment, with

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[4]Office of Project Planning and Development, Experimental Schools Educational Plan (as submitted to the United States Office of Education, Experimental Schools Program, by the Berkeley Unified School District, Berkeley, California), May 21, 1971, revised June 8, 1971, p. 5.

[5]Ibid.

a large percentage of professional people residing in the city. Berkeley has been characterized by the diversity of its racial and cultural groups, with contrasts ranging from well-educated business and professional citizens to those whose opportunity for education and social mobility have been very limited; there are significant numbers of retired or elderly persons who remember Berkeley's suburban status, and there are large numbers of young people in resident and transient status, including those who are formally and also informally associated with the University, who not only question but campaign for social change.[6]

The city reportedly suffers from the major problems associated with residential segregation. Most of its black citizens are concentrated in the west and south "flatlands", while the hilly sections to the north and east are largely white residential areas. The oriental population occupies an arc running southwest to northwest through the middle of the city. The public school system also has many additional problems shared by urban communities in the United States.[7]

The climate for change in Berkeley was illustrated during the secondary and elementary school desegregation programs in 1964 and 1968. These actions reportedly had resulted in representative racial composition in all schools and Berkeley became the first American city with a population over 100,000 and a large minority population to achieve

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[6]Ibid., p. 5. [7]Ibid.

complete school desegregation.[8] (See Appendix Exhibits A and B for pre and post-desegregation school locations; this in turn established the basis for locations of Experimental Schools, as shown in Appendix Exhibit C.)

Carol Sibley, a member of the Board of Education for the period 1961-1971, has written about the heavy involvement of the Berkeley community in shaping the educational program citing as examples the Master Plan Committee which had 138 members of the community and school staff studying many facets of education and those who developed the plan for desegregation.[9] She also relates many other instances where she believes the people of Berkeley and the Board of Education demonstrated a high degree of willingness to face the challenge of change with both conviction and action.[10] In toto, one is presented with an impression of a city and a school system with a climate receptive to change.

The Berkeley district learned in January of 1971 that United States Office of Education money was available to build on experimental schools already in operation.[11]

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[8] Ibid., p. 6.

[9] Carol Sibley, Never a Dull Moment (Berkeley: Scientific Analysis Corporation, 1972), pp. 39-62, 91-92.

[10] Ibid., pp. 35-120.

[11] Letter from Robert B. Binswanger, Director, Experimental Schools Program, Department of Health, Education and Welfare, Office of Education, Washington, D.C., December 28, 1970. (See Exhibit D for copy of letter and enclosure.)

It was publicized that, because of Berkeley's many alternative schools, Washington considered the district fertile ground for the plowing in of a large sum of federal money.[12]

The Office of Project Development submitted the Berkeley district's proposal, one of five hundred submitted by school systems throughout the nation on the theme of "Experimental Schools". Berkeley was one of eight districts in the nation to be awarded a $10,000 planning grant from the United States Office of Education early in February of 1971.[13] According to the Director of the national office of the Experimental Schools Program, the aim of the planning grant was to devise a concept of alternative schools or some other form of "experimental schools" which would institute or be a model for massive change in education. Hopefully, such models would overcome the growing gap between communities and schools, and between students and schools.[14]

A memorandum from the Director of the Office of Project Development, dated February 17, 1971, went out to all Berkeley principals inviting them and other parties to submit suggestions on experimental ideas and proposals

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[12]Office of Public Information, Experimental Schools in Berkeley (Informational Brochure, Berkeley Unified School District, Berkeley, California), September, 1971, p.2.

[13]Letter from Dr. Jay T. Ball, Director, Office of Project Planning and Development, to "Principals and other interested persons", Berkeley Unified School District, Berkeley, California, February 17, 1971. (See Exhibit E)

[14]Letter from Binswanger, ibid., enclosure, pp. 1-4.

for "alternative schools".[15] Some two hundred such plans were created by school staffs, parents, and other Berkeley residents.[16] A committee from central administration, school staffs, and the community culled through all of the proposals and came up with a package of twenty-four alternatives. Approved by the Board of Education, these were submitted as a project proposal to the United States Office of Education. Berkeley's was one of three selected to receive federal grants to sustain and expand on alternative schools. The grant was for 3.6 million dollars for the first thirty months, with some additional funds to follow for another thirty month period.[17]

That initial approval was followed by a period of intensive negotiations with Washington. The Office of Education required that the Berkeley package be reworked so that all of the experimental schools were contained in just two of the city's four attendance zones (see Exhibit C for map of locations). The two zones without alternatives were the "control group" for comparison purposes. The office of Education also required that the program be named "Experimental" instead of "Alternative", a condition which immediately distressed some of the staff of alternatives;

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[15]Letter from Ball, loc. cit.

[16]Office of Public Information brochure, ibid., p. 3.

[17]Ibid.

they had been in operation for some time and considered their programs as "another way", not an experiment. But, that same source noted that with 3.6 million dollars at stake the label on the effort was dismissed as a matter of semantics, not something about which to argue.[18]

Approval of the grant came in mid-June, 1971, and shortly after that the summer vacation period dispersed many of the teaching and school administrative staffs.

The Experimental Schools Project was approved with the ten alternatives already in operation in the district included (see Exhibit F in Appendix for descriptions). In addition, five more alternatives were to be started when schools were opened September 10, 1971; two others were scheduled to begin in the second semester, February, 1972; and, another seven were to be ready to start in the fall of 1972, for a total of twenty-four alternative schools (see Exhibit G in Appendix for descriptions).[19]

The Experimental Schools Project Director was appointed on September 7, 1971.[20] The Associate Director for Training was appointed at that same board meeting.[21] The Associate Director for Evaluation was appointed at the

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[18]Ibid.

[19]Ibid., pp. 3-4.

[20]Board Minutes, Berkeley Unified School District, September 7, 1971, p. 3.

[21]Ibid., p. 10.

Board of Education meeting on October 19, 1971.[22]

As the time drew near for opening the fifteen alternatives on September 10, 1971, there was a program to inform parents about the options open to their children. Church meetings and newspaper articles were the major vehicles for communication during August. One informational brochure was assembled and mailed throughout the city the first week of September.[23] With only slight facility delay at two locations, all alternatives opened on schedule September 10th.

PURPOSE OF THE STUDY

Chris Argyris tells of the urgent need to create new leadership styles and workable models of organizational planning in education and in other fields.[24] He also notes that a major weakness with most organizational plans is the lack of understanding shown by leaders in the problems of implementation.

The researcher's purpose in making this study is to contribute to the better understanding of the problems of the implementation of change.

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[22]Board Minutes, Berkeley Unified School District, October 19, 1971, p.2.

[23]Office of Public Information brochure, op. cit., pp. 1-25.

[24]Chris Argyris, Intervention Theory and Method: A Behavioral Science View (Menlo Park, California: Addison-Wesley Publishing Company, 1970), pp. 3-4.

THE PROBLEM

This study assumes that one way to determine how educational leadership functions is to analyze the process by which that leadership brings about change. The study is concerned with an analysis of the process used in effecting change as represented by developing and implementing one of the first three Experimental Schools Proposals funded by the United States Office of Education.[25] The specific frame of reference is the proposal negotiated and implemented by the Berkeley Unified School District, Berkeley, California.

The researcher's approach to this study has been to review the literature related to practices of administration, with particular attention to those aspects concerned with the effective management of change. This search of the literature has been seeking some pattern in the steps of different change processes, that pattern to be designated the "model" sequence of steps in a change process that is used as the investigation's standard of reference.

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[25]The Experimental Schools program was authorized by Congress under the Cooperative Research Act passed in 1971 (Public Law 83-531). Eight school systems were given $10,000 planning grants and were required to combine into a single, comprehensive educational plan a diverse variety of promising practices for predominantly underachieving, low-income children in the kindergarten through grade twelve. The three school districts chosen to participate in the first phase of the program were: (1) Berkeley Unified School District, Berkeley, California; (2) Franklin-Pierce School District, Tacoma, Washington; and (3) Public School System, Minneapolis, Minnesota.

The major problem of this study is to select and describe the sequence of steps that comprise the designated model of a change process and then to compare that step sequence with the steps followed by the superintendent of the Berkeley Unified School District during the change process embodied in the development and first year's implementation of the Experimental Schools Proposal. The final phase of the study is to develop recommendations which are believed appropriate to the findings of that comparison.

Specifically, the study seeks:

1. To select from a series of change processes one whose sequential steps are presented by the investigator as the model which includes the fundamental bases to be covered in the process of effecting a major change.

2. To develop an instrument to get data which would objectively determine the views held by directors of alternative schools and the central staff who together developed and implemented the first year of the Experimental Schools Proposal. These views are to indicate whether or not there had been a sequence of steps in the development and initial implementation of the proposal and the degree to which those steps or implementation actions compare with the sequence of steps in the change process model.

3. To analyze the data to seek answers to the following questions about the development and first year's implementation of the Experimental Schools Project:

a. Did the superintendent of the Berkeley

Unified School District treat the major change that was involved in the developing and implementing of the Experimental Schools Project as a special organizational problem requiring adherence to the basic principles of a selected change process model?

b. Did the superintendent of the Berkeley Unified School District demonstrate actions which manifested the belief that having understanding and agreement on common goals among its change implementers was required of an organization attempting the major change of developing and implementing the district's Experimental Schools Project?

c. Did the superintendent of the district take actions to reduce those staff emotional stresses that increase confusion and anxiety during a period of major change?

d. Did the superintendent of the Berkeley Unified School District act on the principles that additional communication and training were needed by project implementers prior to the start of the district's Experimental Schools Project?

5. To develop recommendations appropriate to the purpose of this study, based on the findings of the study.

IMPORTANCE OF THE STUDY

S. J. Knezevich has written that:

> Many recent publications...have documented in dramatic fashion the intense ferment confronting the American culture. This seething, and a commitment to change are signatures of our times and touch every social institution including education....There is a growing swell of concern within and outside the profession for a fundamental revision of the substantive content as well as the methodology employed in readying persons to assume various degrees of responsibility for the direction and operation of schools.[26]

This study may help delineate areas wherein administrators can be trained in skills which will enable them to cope with and manage change more effectively.

John I. Goodlad has stated that American education is a much more slowly changing enterprise than it should be or could be.[27] He has presented the following rationale for studying educational change:

> One requires no great insight to realize that processes of improving schooling in the United States are haphazard if not chaotic. Millions of dollars are spent each year on consulting....But we seem no more capable of mounting a comprehensive change strategy than we were when all of this began....Educational change, at even the most rudimentary levels, is one of those great unstudied realms of education. Obviously, understanding it is basic to effecting it. Need one have more motivation for probing into it?[28]

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[26]Edgard L. Morphet and David L. Jesser, ed., Preparing Educators to Meet Emerging Needs (New York: Citation Press, 1969), p. 85.

[27]John I. Goodlad, "Studying and Effecting Educational Change," I/D/E/A Reporter, Fall Quarter, 1969, p. 1.

[28]Ibid., pp. 3-4.

Whether or not American education is changing more slowly than it should or could be, Olivero and Buffie feel that many changes have taken place from a variety of inputs and, "As with virtually every other aspect of our lives, change is occurring at a fantastic rate."[29]

Norman Hearn suggests one reason why the rate of change has accelerated and why it might be of benefit to study this condition, when he says:

> In our times, mass access to free public education has accelerated the pace of change. As the system pumps more and more literate men and women into the mainstream of society, more and more people have ideas about who and what should be changed. As any school superintendent can tell you, we are virtually saturated with 'change agents'. Possibly what we need are more effective methods of channeling and arbitrating the energies of this multitude of change agents. Such an undertaking requires structure and a science of innovating.[30]

Given a rapid or accelerated rate of change, William Merz notes the relationship to education and presents some justification for having planned change:

> We have learned the hard way that education is intimately bound to the social trends and rapid changes that characterize our society. Whether or not education must adapt to changing social conditions is not a debatable point; the alternative to planned change is to be buffeted about by the pressures and demands of a society that clamors for educational services of many kinds.[31]

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[29]James L. Olivero and Edward G. Buffie, Educational Manpower (Bloomington, Indiana: Indiana University Press, 1970), p. 269.

[30]Norman Hearn, "The Where, When, and How of Trying Innovations," Phi Delta Kappan, 53:368, February, 1972.

[31]William R. Merz, "Education and the Process of Change," Educational Leadership, 24:561, March, 1967.

Miles has noted that the dominant focus in most contemporary change efforts tends to be on the content of the desired change, rather than on the features and consequences of change processes.[32] It is his premise that attention to change processes is crucial, that the degree to which there can be increased understanding of planned change will have a bearing on the degree to which educational innovation will be managed more effectively in the future than has been the case in the past. The problem seems to be that, in spite of massive amounts of money injected to accomplish change and with these expressed concerns for educational change, analysis indicates that almost all available funds, energy, and time are going into the development of innovations as such. The fraction of funding available for examination of, planning for, and more or less sophisticated execution of change processes seems to be minor.[33] In a more recent publication Argyris expresses similar concerns. He calls for crash programs to give attention to processes for change and self-renewal of organizations and participants to be more effective in meeting changing conditions occurring at a more rapid pace within our society.[34]

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[32]Matthew B. Miles, Ed., Innovation in Education (New York: Bureau of Publications, Teachers College, Columbia University, 1964), p. 2.

[33]Ibid., p. 10.

[34]Argyris, op. cit., pp. 4-5.

If administrators have not had an extensive and specific preparation for the special problems of effecting educational change, then one is led to ask the question of whether or not the problems of change are compounded by this lack of preparation. Could the problems be reduced by having a better understanding of change as a process which must be studied for more effective planning? Would this have any implications for training institutions?

A study of the development and implementation of the Berkeley Experimental Schools Proposal offered an opportunity to examine in depth the change process that an urban school system has employed. The opportunities for contact with a wide range of staff that have been involved with the process were unique. The investigator has worked nineteen years with the subject district. An administrator most of that time, he has had a peer relationship with many of those involved in developing and taking part in the first year's implementation of the Experimental Schools Proposal. Had there been an implementation plan for the implementers, to accomplish this organizational change? Would they have a common view of that plan? Had they been given direction and training for implementing this change? How did these implementers view the need, timing, and extent of such direction and training? Answers to these and other questions are presented later, to offer some basis on which are formulated recommendations regarding the management of change.

LIMITATIONS OF THE STUDY

This study covers only the development and initial implementation period for the Experimental Schools Project at the Berkeley Unified School District, Berkeley, California, from December 28, 1970, through June 30, 1972.

The gathering of primary data is restricted to: (1) participants directly involved in developing the original proposal; (2) negotiators of the funded project; and (3) the actual implementers of the project.

These "implementers" are the eighteen directors of the experimental schools and the seven central administrative staff of the project. Two directors are unavailable because of current out-of-state residence; the assistant directors for each of those two locations were therefore interviewed as alternates. The interviews with seven writers and developers are also included, to make a total of thirty-two.

DEFINITIONS

The following definitions will apply in this study:

Change. Any significant alteration in the status quo, usually an alteration which is intended to benefit the people involved.[35]

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[35]Ronald G. Havelock, The Change Agent's Guide to Innovation in Education (Englewood Cliffs, N.J.: Educational Technology Publications, 1973), p. 4.

Change Agent. An individual who facilitates the planned change or planned innovation.[36]

Change Process. How the change or innovation comes about.[36] For purposes of this study, the investigator will use the term to convey the idea that the change process consists of movement through a sequence of phases (steps), one growing out from another, toward a goal.

Client. A person, group, organization, or community which the change agent chooses to serve.[36]

Client system. Equivalent to "client", but indicating the fact that the "client" is usually a group of people who are interrelated and at least partly interdependent.[36]

Goal. An outcome intent which is measurable on a nominal scale; that is, which is stated in terms of a label or intent...[37]

Innovation. Any change which represents something new to the people being changed...will usually mean a change which benefits the people who are changed.[38]

Objective. An outcome intent which is measurable on an interval or ratio scale; that is, which gives the following information: upon completion of the intervention

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[36]Ibid., p. 5.

[37]Fenwick W. English and Roger A. Kaufman, Needs Assessment: A Focus for Curriculum Development (Washington, D.C.: Association for Supervision and Curriculum Development, 1975), p. 65.

[38]Havelock, op. cit., p. 4.

(teaching, etc.) there will be a statement of what behaviors (including skills, knowledge, and attitudes) will be displayed, who or what will display these behaviors, under what conditions will the behaviors be observed, and what criteria will be used to measure the success or failure of achieving the desired behaviors.[39]

Planned Change. Change or intervention which comes about through a deliberate process which is intended to make both acceptance by and benefit to the people who are changed more likely.[40]

Process. The means by which one attempts to meet goals or objectives.[41] In this study having reference to a sequential series of steps which provide organization to the pursuit of a goal.

Resources. Persons or things which can be used to initiate or to improve an innovation or an innovative process. Resources may be available both inside and outside the client system.[42]

Solution. The means by which one attempts to meet goals or objectives -- equivalent to process and methods-means. A "How-to-do-it."[43]

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[39]English and Kaufman, op. cit., p. 65.

[40]Havelock, op. cit., p. 5.

[41]English and Kaufman, op. cit., p. 65.

[42]Havelock, op. cit., p. 5.

[43]English and Kaufman, op. cit., p. 65.

Strategy. The methods for achieving defined objectives (or goals) selected, ideally, on the basis of what alternative ways and means are available, and then selecting that which will give the desired results with the least expenditure of time, money, and effort.[44]

ORGANIZATION OF THE STUDY

Chapter One has presented the introduction to the study and the problem and importance of the study. It has also stated the limitations and definitions of the study.

Chapter Two reports the literature related to the study of organizational processes and change.

The case study methodology, the selected change process model, and the procedures of the study are presented in Chapter Three.

Chapter Four reports and summarizes the data obtained, and presents a comparative analysis of these findings in reference to the principles contained in the sequence of steps in the selected change process model.

Chapter Five contains a summary of the comparative analysis, some value judgments, the conclusions, and the recommendations of the study.

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[44]Ibid.

Chapter 2

A REVIEW OF RELATED LITERATURE

INTRODUCTION

The problem of this study is to select and describe the sequence of steps that comprise the designated model of a change process, and to compare that sequence with the steps followed by the superintendent of the Berkeley School District during the development and first year of implementation of the Experimental Schools Proposal. The final phase of the study is to develop recommendations which are believed appropriate to the findings of that comparison.

This chapter reviews the literature related to the practices of administration, with particular attention to those aspects concerned with the effective management of change. The chapter is in four sections: (1) the first section reaffirms existence of an accelerating pace of change and the need for an organized approach to the effective management of change; (2) section two presents the current status of educational change theory; (3) section three focuses on some components of the role which the chief administrator of an educational system might demonstrate in the effective management of change; and (4) section four presents some of the change processes described in current literature.

THE PACE OF CHANGE AND NEED FOR PROCESS

> At no previous time in the advance of civilization has the process of change set a pace to compare with that facing the present generation. At no other period of history has there been such a narrow time span between invention and obsolescence.[1]

This author, Umons, then goes on to say, "Change can no longer be haphazard. It must be active...planned and systematic...Planning is essential to education."[2]

Warren Bennis confirms these conditions of an accelerating pace of change. He also notes the need to make new rules and methodologies to cope with these changes.[3]

Writers like James Olivero and Don Glines speak of sweeping improvements being needed because there are "seeds of dissatisfaction" within the public which have become a source of change in its role of community input to the schools.[4,5] Glines reports that a new and better future is expected of education by the public and this demand seems

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[1]Shelley Umons, The Management of Education, A Systematic Design for Educational Revolution (Garden City, N.Y.: Doubleday and Company, Inc., 1970), p. 37.

[2]Ibid.

[3]Warren G. Bennis, Changing Organizations (New York: McGraw-Hill Book Company, 1966), p. 177.

[4]James Olivero and Edward Buffie, Educational Manpower: From Aides to Differentiated Staff Patterns (Bloomington, Indiana: Indiana University Press, 1970), p. 269.

[5]Edgar L. Morphet and Charles O. Ryan, Ed., Planning and Effecting Needed Changes in Education (Denver: Publishers Press, Inc., 1967), p. 163.

to mean, "If schools are to be significantly better, they must be significantly different."[6]

Ernest Boyer states that "planned change is essential." He also speaks of a long-term period of "profound change" and "ferment" in education in which one of the principal tasks for administration will be choosing between just change and "real progress", a task exhibiting "educational statesmanship."[7] He says this concern is of central importance because, "while talk about educational change is cheap, the process of change is expensive indeed."[8]

The book, Designing Education for the Future, says stress will probably be a continuing quality of change:

> Pluralism in America is intensifying and our present social abrasiveness will probably continue in the years ahead...A supportive attitude is that conflict is bound to mark educational organizational life and that leadership skills can be refined to help reduce the dysfunction of stress to a school system.[9]

This comment underlines the need to prepare more specifically because skills can be refined and "innovations in educational practices involve an understanding and consideration of all the processes of change," according to

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[6]Ibid.

[7]Ernest Boyer, "Educational Change: Maintaining Balance and Coordination," California Journal for Instructional Improvement, 8:24-26, May, 1965.

[8]Ibid., p. 26.

[9]Edgar L. Morphet and Charles O. Ryan, ed., Designing Education for the Future (New York: Citation Press, Inc., 1967), p. 192.

Shelley Umons.[10]

Another viewpoint about this matter of interrelatedness in educational organizations is that isolated change in a system's components seems never to remain isolated, for "significant components do not change independently of the whole system."[11]

These points present leadership's responsibility for understanding the relationships between system components, the effects of stress, and the need for planning to bring orderly processes of change.

More support for this position comes from Ronald G. Havelock, when he says:

> It is now becoming recognized that change will only lead to real progress if it is brought about in an orderly sequence of goal-setting, planning, and systematic execution.[12]

His contribution toward this progress has been the production of a compendium of a study of 1,000 school changes with outlines of how he classified each into 44 approaches and then grouped these in turn into larger categories of 6 types of major change.[13]

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[10]Umons, op. cit., p. 30.

[11]Edgar L. Morphet and Charles O. Ryan, ed., Planning for Effective Utilization of Technology in Education (New York: Citation Press, 1969), p. 21.

[12]Ronald G. Havelock, The Change Agent's Guide to Innovation in Education (Englewood Cliffs, N.J.: Educational Technology Publications, 1973), p. 153.

[13]Ibid., pp. 1-172.

More of the same descriptive approach is provided by the "Educational Change Team" associated with Havelock at the University of Michigan. They have put out numerous manuals on, for example, locating any of hundreds of change-agents or resources for implementing change.[14]

Another type of extensive study of change is summarized in the Phi Delta Kappan.[15] This study by Orlosky and Smith, done for the United States Office of Education, focuses on change efforts of the past 75 years. They make a classification of changes according to their degree of success or failure, the aspect of the system that was the focus of the change effort, and then present a generalized view of factors which contributed to the success or failure of the change effort. This study provides an extension beyond the descriptive level, in the direction of "practitioner-oriented" guidelines of critical principles. However, the authors themselves suggest what is needed beyond this type of study, when they say:

> The data set forth in this report are too broad to provide insight into the sort of situational analysis that successful change entails. More refined data can be secured be intensive case studies. A few well-chosen

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[14] Banyan Bryant, Janet Huber, and Debra Stowe, Resources for School Change, Volumes I, II, and III (Washington, D.C.: United States Department of Health, Education, and Welfare, 1972).

[15] Donald Orlosky and Othanel Smith, "Educational Change: It's Origins and Characteristics," Phi Delta Kappan, 53:412-414, March, 1972.

> case studies can be made to explore the underlying variables whose manipulation and control can give a change agent greater assurance of success.[16]

In the NEA journal, Today's Education, Samuel Gould titles his article: "Is Nontraditionalism becoming a Tradition?"[17] He agrees with the positive points of most change, those aimed at the traditional goals of more flexibility and individualized instruction, but points out that the rhetoric becomes an inflated end in itself and adds to the confusion about the real goals of the change agents:

> Another danger that lies hidden in a nontraditional movement is the aura of revolution with which it sometimes likes to surround itself, often out of sheer impatience with orderly change and occasionally out of perverse desire to sweep everything and everybody aside..."[18]

A few years back, Louis Rubin expressed some of his concern about change in an article entitled "The Mythology of Innovation", saying:

> In its sociological sense a myth is a group belief that is born of wish rather than of an understanding of the real way things are. The movement to reform public education, with its accompanying exhortations for newness and change, has reached the point where myth and counterfeit assumptions may well dissipate the human energy and resources going toward the improvement of the school.[19]

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[16]Ibid., p. 414.

[17]Samuel Gould, "Is Nontraditionalism Becoming a Tradition?," Today's Education, 61:18-21, April, 1972.

[18]Ibid., p. 21.

[19]Louis Rubin, "The Mythology of Innovation," California Journal for Instructional Improvement, 12:140, October, 1969.

He goes on to say:

> The tides have so reversed...that now in many instances schools may be equally guilty of a reckless fascination with change....It is not that innovation in itself is undesirable....But there must be stability amid change. Innovation, in short, must be a rational act.[20]

There are two features contained in the above quotation which Rubin considers desirable in the effective management of change: stability and rational action.

The foregoing material supports the premise that the pace of change is accelerating. It also suggests six qualities which encourage the more orderly management of change. These six qualities are:

1. Do extensive planning of what is to be done, prior to the start of any implementation of the change, to avoid haphazard changes.

2. Increase organizational accommodation to new sources of input, particularly those from the community.

3. Make serious effort to reduce the resource costs of change.

4. Consider it necessary to accept conflict as a continuing condition of organizational life.

5. Seek a refinement of leadership skills to reduce the dysfunctions of stress.

6. Make change be a rational act, so that there can be organizational stability.

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[20]Ibid.

CURRENT STATUS - EDUCATIONAL CHANGE THEORY

Matthew B. Miles of Teachers College, Columbia University, states that a true change theory, rather than a listing of strategies is needed, but that generally only the strategies have been provided. As Miles notes:

> A very wide variety of strategies for creating and controlling educational change is being employed -- polemical, manipulative, technological, prestige-based, experimental, moralistic -- with varying degrees of success.[21]

However, he then goes on to argue for a different approach:

> The dominant focus in most contemporary change efforts, however, tends to be on the content of the desired change, rather than on the features and consequences of change processes. It is the thesis (here)...that attention to change processes is crucial.[22]

Miles indicates this position is important:

> We need to know, for example, why a particular innovation spreads rapidly or slowly, what the causes of resistance to change are in educational systems, and why particular strategies chosen by innovators succeed or fail.[23]

He says that the advantage for innovators and administrators develops because, "given an increase in understanding, it seems likely that we may be able to manage educational innovation somewhat more skillfully than we have in the past."[24]

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[21]Matthew B. Miles, ed., Innovation in Education (New York: Bureau of Publications, Teachers College, Columbia University, 1964), p. 2.

[22]Ibid. [23]Ibid. [24]Ibid.

Another discussion by several investigators (Bhola, Jwaideh, and Knowlton) explains:

> The understanding is now fairly widespread among educators that they do not have to wait 40 years for a useful new educational idea to become classroom practice. They now seem to realize that if they understand the process of change and of changing they can both hasten and systematize that process to the benefit of education.[25]

Mangione suggests an eclectic approach, when he says:

> It should be apparent to anyone who has attempted to initiate any educational change that no clear blueprint, strategy, or process exists which can be applied successfully in all situations...(but) there are models and strategies from which a potential change agent can extract ideas that may be appropriate for his particular situation.[26]

Kenneth Hansen was Director of Program Development, Education Commission of the States in 1967, when he suggested that such an eclectic approach without guidelines is a "non-directive methodology" and went on to say:

> ...the change process sometimes gets bogged down when excessive reliance is placed on non-directive methodologies. Non-directiveness as a basic psychological theory can check excessive authoritarianism, encourage desirable creativity, and cause the personality to develop--but non-directiveness can also result in non-direction for change.[27]

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[25]Harbans Bhola, Alice Jwaideh, and James Knowlton, "Training the Change Makers in Education," Audiovisual Instruction, 18:22, January, 1973.

[26]Samuel Mangione, "Bringing Perspective to the Change Situation," Educational Leadership, 27:359, January, 1970.

[27]Morphet and Ryan, Planning and Effecting Needed Changes in Education, p. 25.

Hansen gives the following description of the need for planning and the nature of most published plans:

> Therefore, even in planning for change there must also be planning for how to bring about or implement the change. The planners have to think almost in terms of mechanics or engineering...that is why the change-planner puts so much emphasis on seemingly rather mechanical concepts...to get the planning started, keep it going, and transmute it eventually into change itself.[28]

Referring to the management of change processes, Hansen assesses the state of the art as follows:

> There are almost as many strategies, procedures, methodologies, and approaches to planning for change as there are scholars in the field and practitioners of the art. No one of the 'models', as they are often called, is without merit; yet no one of them can arrogate to itself all possible virtues.[29]

In another publication Hansen points out the consequences for education of confusion about how to bring about change:

> How to bring about change is a problem which has entranced and baffled researchers and practitioners for a long time. Scholars and practitioners alike disagree on the definition of change, on the theories of change, its strategies, and on the most effective ways for the 'change-agent' to work with his 'client-system'. The ordinary person concerned with educational change--the school man, the lawmaker, or the citizen--often finds himself understandably lost in this morass of technical theory.[30]

In that same source, Hansen is critical of this plethora of

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[28]Ibid. [29]Ibid.

[30]Edgar L. Morphet and Charles O. Ryan, ed., Cooperative Planning for Education in 1980: Objectives, Procedures, and Priorities (New York: Citation Press, 1968), p. 25.

ideas for, although he indicates support for the idea that good theory always underlies the best practice; nevertheless, this welter of ideas is often too all-encompassing and technical to be of use to the non-technical change-maker. He argues that specific suggestions would be more helpful than such "global models", which are "flow-charts" or are "non-directive", saying:

> Goals for desired change are essential, of course, and a clear sense of direction for change is vitally needed. Theoretical considerations loom large in developing both goals and directions, but a detailed theory of the change process itself may not be immediately essential. All inclusive 'taxonomies', 'models', 'paradigms', or 'configurational theories' of the change process do not seem to have a great deal of immediate utility for many people concerned with educational change.[31]

As an example of his criticism of "all inclusive" attempts at theory, Hansen has this to say:

> For example, even the widely discussed Clark-Guba systematization of the change process into development, diffusion, and adoption is at once too complex and also too simplistic to fit many real life situations.[32]

To conclude this section, Matthew Miles suggests a reason why there is an apparent shortage in this area:

> When we are asked to examine the social life around us, most of us tend to think of durable, permanent structures. The school, the college, the government agency, the industrial corporation...the participants in such structures ordinarily expect them to exist for an indefinitely long period...Thus it is natural that almost all sociological inquiry has focused its attention on the properties of enduring social systems.[33]

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[31] Ibid. [32] Ibid.

[33] Miles, op. cit., p. 437.

CHANGE AND THE LEADERSHIP ROLE

> The initiative for change may come from below in the organization or from outside, but in order to be effective it must eventually engage the top.[34]

This was the conclusion of Donald Schon, a professional change agent, who at that time was Director of the Institute for Applied Technology, National Bureau of Standards.

Harold Altman notes how change highlights both the importance and the responsibilities of leadership:

> Griffiths' theory on open systems, and the research done by Brickell and Carlson indicate that...change will more often depend upon the chief administrator than any other person in that system. It is the chief administrator who has the resources and the authority to enable change to take place.[35]

Other writers also noted that leadership has a vital role for effective change by stating:

> The administrator is the key to educational innovation....Regardless of who introduces the innovation, it cannot hope to succeed unless it has the approval of and encouragement from the administration.[36]

Also, Richard Miller, using a continuum of change difficulty which ranked innovation in total instructional-organizational patterns as the most difficult of the changes,

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[34]Donald Schon, Technology and Change, the New Heraclitus (New York: Dell Books, 1967), p. 133.

[35]Harold Altman, "Implementing Planned Change in the Public Schools," California Journal for Instructional Improvement, 12:83, May, 1969.

[36]Ross Neagley and Dean Evans, Handbook for Effective Supervision of Instruction (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1970), p. 141.

concluded that "the role of the administrative leadership should be directly proportional to the complexity and extensiveness of the change."[37]

Joseph Litterer is another writer who addresses the multiple responsibility aspect of leadership's role. Leadership must manage many processes effectively to enable staff to operate with a minimum of confusion and resentment, according to this source.[38] He says this is particularly critical when managing changes in the organization, with the many possibilities for new role descriptions, work doctrine changes, and modifications in delegations of authority. If leadership is insensitive to these needs or fails to follow through with effective direction, he feels that the potential for confusion and resentment is greatly increased.

The above sources presented some judgments about the importance the leadership role has for the process of change. The researcher feels that leadership does not exist in a vacuum but functions in the context of organizational structures. The search therefore seeks to determine if there is a relationship between the leadership role and the limits of organizational effectiveness. Results of investigating that question are presented under these three headings:

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[37]Richard I. Miller, "The Role of Educational Leadership in Implementing Educational Change," California Journal for Instructional Improvement, 12:22, December, 1969.

[38]Joseph A. Litterer, Organizations: Structure and Behavior (New York: John Wiley and Sons, Inc., 1963), p. 126.

(1) Communication; (2) Reduction of Stress; and (3) Setting Goals and Objectives.

Communication

Alexis and Wilson state that the reliability and availability of an organization's "communication's net" is dependent upon the perceptions of the people who make up the organization, as well as on the organization's formal communications structure. Further, that perceptions are affected by the fact that "individuals often 'see things' in terms of their own needs and goals."[39]

These same writers go on to say that decision-making rests on information flow, which in turn rests on the communication systems that rest on the level of human cooperation prevailing at that given time in the organization. They state:

> The findings of this research suggest that actual problem-solving behavior in organizations parallels the problem-solving behavior of individuals...organizations and individuals are alike in that both are governed by perception or information filtering systems.[40]

They go on to say that the nature of those filtering systems is varied by several factors:

> The manner in which information is perceived by an organizational decision unit depends upon its goals, aspirations, and problem-solving needs.[41]

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[39]Marcus Alexis and Charles Wilson, Organizational Decision-Making (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1967), p. 315.

[40]Ibid., p. 67.

[41]Ibid., p. 69.

Howard Raiffa reports that the new developments in any change requires the learning of some type of material new to the participants and that making decisions within this change context then requires more information about the new material or techniques. This appraisal is supported by quantitative approaches to decision-making which show that more information is required to reduce the ever-present problems of uncertainty.[42] Since change means the stability of routines is disrupted, it follows that the disruption of routines requires more members to make more decisions--and spend more time learning new routines--than is normally the case. Raiffa stresses that increased information flow is required by change to maintain organizational effectiveness.

As documented above, communication is an intrinsic component of all aspects of organizational activity. Many of the items in the next two sub-sections could legitimately have been included in this sub-section. Instead, their placement is determined by the organizational function or dysfunction with which communication is most intermingled.

Reduction of Stress

A major limit on organizational effectiveness is the result of interaction between personal security and information flow. This reciprocal interaction is presented in the

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[42]Howard Raiffa, Introductory Lectures on Choices (Boston: Addison Wesley Publishing Company, Inc., 1970), pp. 10-35.

work of Robert Guest who spent over four years studying, by first-hand observation, an automobile plant being changed from an ineffective one to an effective one. He concludes that:

> The length of time required for an organizational change to improve its performance is affected by the degree of intensity of personal insecurity and of interpersonal hostility at the outset of change.[43]

Guest emphasized that the old manager knew the business, but his methods centered on creating insecurity among the subordinates and then compounding that insecurity by using a strictly hierarchical "communications pyramid".[44] Guest reports that the resulting problems were intertwined for, although the old manager was at the apex and should have been well able to obtain and use information to make changes, much of the received information was contradictory and isolated because no sharing of information and understanding had taken place at lower levels of the organization. Confusion resulted.

The new manager attacked both problems at once; he announced that he did not intend to use the previous punishment methods and, "by publicly disclaiming any intention to use punishment as a means for getting action, change, he touched on a basic need -- the need for job security."[45]

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[43]Robert Guest, Organizational Change: The Effect of Successful Leadership (Homewood, Illinois: Richard D. Irwin, Inc., 1962), p. 115.

[44]Ibid., p. 131. [45]Ibid.

Then he set up lateral communication flows to improve cooperation and used informal meetings to effect this.

That same source reported that the ability to cooperate better with other subordinates because of having more information can do much to reduce stress. He described this ability as an enlarged "span of cognition" when he said:

> A conclusion one reaches is that for a leader to induce others to act requires that he establish for himself and for others mechanisms that allow both to be continually enlarging their span of cognition; this enlargement is not merely a greater accumulation of isolated facts and ideas but of facts and ideas that have had broad circulation before they are acted upon.[46]

He also found that subordinates were better able to coordinate information and activity when helped by these informal groups. The synergestic effect of such measures upon both information flow and emotion were the unexpected positive emotional effects of the "informational" gatherings as reported by Guest:

> An unanticipated consequence of group participation was that each member gained a feeling of reinforcement and support not provided for in the formal one-to-one system of relationships. Those at higher levels were able to return to their departments knowing that they had the support of their peers and superiors....At an even deeper level, identification with a primary group serves to counteract the feelings of alienation and 'anomie' so characteristic of life in large bureaucratic organizations.[47]

Joseph Litterer's comment to the effect that leadership must manage many processes effectively to enable staff to operate with a minimum of confusion and resentment seems

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[46] Ibid. [47] Ibid., p. 133.

to merit repetition here.[48] The specific reference to how important communication can be to alleviate staff resentment during the management of change is an example of the intermingling of communication and the reduction of stress.

Whyte also speaks to another combination of communication and reduction of stress. He notes the need for doctrine when a modification in authority delegation or job assignment comes as the result of some change, emphasizing the fact that it is the rearrangement of the distribution of rewards and penalties that flow from a change which will cause the greatest amount of insecurity and resistance. A clearly stated new work doctrine or authority clarification will be needed to anticipate and answer these problems.[49]

Also, when he suggests that leadership should set actions in motion to develop such doctrine or clarification, their plans should incorporate adequate training for staff's greater effectiveness in new roles and responsibilities.[50]

Setting Goals and Objectives

Alexis and Wilson, in their book on organizational decision-making, state that a large amount of interpersonal communication in organizations is spent bringing personal

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[48]Litterer, op. cit., p. 126.

[49]William F. Whyte, Organizational Behavior: Theory and Applications (Homewood, Illinois: Richard D. Irwin, Inc., 1964), p. 569.

[50]Ibid.

goals into line with the group consensus. They say that if needs and goals become splintered then the basis for the sharing of duties also becomes splintered with a reduction in efficiency. Because of that personal aspect, they suggest that there be lateral flows of information as well as upward hierarchical flows; the participants should be given information to have in common about goals and operational objectives and about the doctrine for solving day-to-day problems. Then confusion and ambiguity about daily work is reduced.[51]

Victor Thompson considers shared goals important enough to use that concept as the basis for investigating organizations judged to be in need of improvement, and he has this to say about the steps needed beyond goals:

> Organizations as problem-solving mechanisms depend upon a factoring of the general goal into subgoals, and these into subgoals, and so on, until concrete routines are reached...[52]

He goes on to say:

> The subgoals are allocated to organizational units and become the goals of those units. Individuals in the units are not given the impossible task, therefore, of evaluating their every action in terms of the general goal of the organization, but only in terms of the particular subgoal allocated to their unit. The definition of the situation is sufficiently simplified to bring it within the rational capacity of the human mind ....In this way, bureaucratic organizations achieve

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[51] Alexis and Wilson, op. cit., p. 316.

[52] Victor A. Thompson, Modern Organization (New York: Alfred Knopf, Publisher, 1961), p. 5.

rationality far beyond the capacity of any individual.[53] (In current educational activities relating to the Program-Planning-Budgeting-System, P.P.B.S., these "subgoals" and routines would be stated in terms of operational, measurable objectives.)

In the absence of "shared goals" Thompson points out the consequence for change: "...in an insecure, competitive, group situation, innovation threatens the security of all members...and is suppressed."[54]

Alexis and Wilson have pointed out that "there will be distortions in the flow of information, since each decision unit perceives information in terms of its own information needs."[55] Also, Thompson noted that there is a close and reciprocal relationship between communication, emotional security in an organization, the lowering of information distortions, and the reality of "shared goals". As he points out in a reference to Kurt Lewin's work in participative management:

> The superior's right to monopolize official communication also can be damaging to personal satisfaction and goals. As Kurt Lewin has pointed out, denial of pertinent information to participants prevents a cognitive structuring of events and results in emotionalism, lack of direction, alienation and conflict. When the subordinate is denied information, he is prevented from seeing the relationship between his immediate activities and the larger group objectives...[56]

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[53]Ibid. [54]Ibid., p. 163.

[55]Alexis and Wilson, op. cit., p. 70.

[56]Thompson, op. cit., p. 95.

This also gives support to the concept that organizational goals need to be broken down into subgoals or objectives.

Yet another example of the need to break goals into objectives is presented by William Whyte when he discusses why Kurt Lewin, after experiments at the Harwood plant, was forced to adopt the model of introducing subordinates into discussions about future changes:

> Members of management at Harwood and social scientists had recognized that...the effect of the introduction of change seemed to be a drop in production that tended to be much worse than could have been explained by an allowance for the workers to learn the new ways... It seemed clear that there were social and psychological problems involved in the introduction of such changes as they were customarily handled...[57]

Whyte disputes the idea of this being simple "resistance to change" and traces it to resentment of the effects of poorly executed change on "interactions and activities", as well as lack of knowledge regarding eventual goals and objectives.[58]

Expanding on concern with goals and the leadership role in change, Schon notes what he judges are essentials:

> Leverage at the top, a perception of crisis, sufficient time for the change cycle to occur, a concrete vision of the direction of change -- these are the minimal conditions for change towards innovation.[59]

The report by Alexis and Wilson on the uses of communication tend to support and explain Thompson's observation

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[57]Whyte, op. cit., p. 33.

[58]Ibid., p. 561.

[59]Schon, op. cit., p. 133.

about the time spent in communicating about common goals:

> The first major phase of information handling deals with goal setting. The individual has to reduce a set of non-operational goals to an operational hypothesis. This is necessary even for problems with a minimum degree of complexity. Groups have similar operational requirements in problem-solving situations. The given group problem must be filtered through a web of processes whereby agreements between individuals in the group are reached as to appropriate operational group action. Information is sought and given to facilitate such agreements.[60]

Hansen also states an important relationship:

> The goals should provide the common objectives by which the merits of alternative programs are weighed and by which conflicts between programs are resolved. The goals also should provide the relatively stable basic direction for the plan, around which programs can be adjusted to meet changing circumstances without jeopardizing the basic integrity of the plan.[61]

To conclude this section, reference is again made to Donald Schon. He emphasizes that leadership plays a major role in goal setting when he states:

> In order to move deliberately toward innovation, the organization must have a vision, vividly and broadly perceived, of what it can come to be....Providing that vision...may be the leader's major job.[62]

And, if he can not provide it, then Schon feels that the leader must create an environment where someone else can do so; for no change can be attempted until this priority is accomplished--it is futile to undertake change otherwise.[63]

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[60]Alexis and Wilson, op. cit., p. 74.

[61]Morphet and Ryan, Planning and Effecting Needed Changes in Education, p. 20.

[62]Schon, loc. cit.

[63]Ibid.

A FRAME OF REFERENCE

The material in this section is submitted in two divisions to help organize the presentation. The first portion considers a variety of change processes. The second segment gives brief consideration to the role of planning in effecting change. These will set the stage for presenting the selected change process model in chapter 3 and giving the rationale for its use as the frame of reference for this study; that is, the sequence of steps as the standard for comparing the actions of the chief administrator, when focused on the development and initial implementation of the Berkeley Unified School District's Experimental Schools Project.

Some Change Processes

Harbans Bhola and associates say that education has bought--from industry and agriculture--the change model of "Research-Development-Dissemination-Evaluation (R-D-D-E)."[64] In their interpretation, research is seen as different from development in that it is typically accomplished more by the change-agent on his own; it is more pure, rather than applied research, whereas development is more concerned with making an idea work in the reality of particular school systems. Dissemination is basically communication, along with building social approval for the idea. Evaluation is considered

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[64]Bhola, Jwaideh, and Knowlton, op. cit., p. 22.

the reaching of a judgmental decision about the effectiveness and impact of the product or practice if progress is to be continuous.[65]

The above is a modification of the conceptual categorization evolved first by Brickell and later by Clark and Guba.[66] This strategy of "Research, Development, and Diffusion (RD & D)" is one of the three major orientations under which Havelock groups his classification of strategies of innovation in education.[67]

Egon Guba himself appears to give major emphasis to the "Diffusion" phase of the Clark-Guba systematization of the change process when he says:

> The finest research, the most innovative solutions to practical problems, the best packages of materials, can have no effect on practice if they are not diffused to the level of the practitioner. It is obvious that one cannot hope for any considerable improvement in American education unless one also pays a great deal of attention to the process of diffusion.[68]

In that same article, Guba presents two of the many ways in which "Diffusion" has been defined.[69] He uses these as the basis for his position that the end result of diffusion is the acceptance of an innovation by an adopting unit; that

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[65]Ibid., pp. 22-23.

[66]Havelock, op. cit., p. 161.

[67]Ibid., pp. 154-164.

[68]Egon Guba, "Diffusion of Innovations," Educational Leadership, 25:292, January, 1968.

[69]Ibid.

the purpose of diffusion activities is to gain such acceptance.[70] Instead of "change-agent" and "client-system", Guba uses the terms "diffusion-agent" and "adopter." He goes on to discuss the need for a "strategy for diffusion" which, if it is to be successful, must have paid attention to at least five sets of factors.[71]

The first of these sets is repeated here because of the importance attached to it by the researcher:

> Diffusion techniques. There are essentially six modes for the diffuser to use: (a) he can tell (newsletters, papers...etc.); (b) he can show (participant observation, demonstration, films, etc.); (c) he can help (consultation, service, etc. rendered on the adopter's terms); (d) he can involve (include or coopt the adopter); (e) he can train (familiarize with the innovation through courses, workshops, T-sessions, etc.); and, (f) he can intervene (involve himself in affairs of the adopter on his /the diffuser's/ terms).[72]

Another author sees the different relations between "change-agent" and the "client" who is being changed resulting in different "diffusion strategies". These seven, by Umons, are value, rational presentations, didactic, psychological, economic, political, and authority.[73]

Guba has different presentations of the basic Research-Development-Diffusion model which are concerned with persuasion of certain key people in the client system. He states he does not have an encompassing theory, since there are always outside assumptions to be made in deciding

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[70]Ibid., pp. 292-293 [71]Ibid., p. 293 [72]Ibid.

[73]Umons, op. cit., p. 75.

on a "presentation theory" which remain outside the theory. Illustrative of this is the following:

> The theory propounded here, if it can properly be called that, is not easy to apply. What is lacking are operational determiners of the four classes of assumptions outlined above. How can one determine which assumptions about the nature of the adopter (client) it would be wisest to make?...Where are the instruments that will permit the characterization of the nature of the diffusion agent, or of the substance of the invention?[74]

Brickell reportedly follows that same approach, but he emphasizes the need for a "demonstrator model"; so three major phases, design, evaluation, and dissemination, are best combined in the fewest steps and the least time (to avoid political repercussions).[75]

The foregoing material on "Research-Development-Diffusion" does not provide a practitioner-oriented process for the effective management of change. The three or four phases are too global, too all encompassing as descriptors of actions to be taken, in the view of Kenneth H. Hansen, Director of Program Development for the Education Commission of the States at the time he stated:

> ...the widely discussed Clark-Guba systematization of the change process into development, diffusion, and adoption is at once too complex and also too simplistic to fit many real life situations.[76]

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[74]Guba, op. cit., p. 295.

[75]Miles, op. cit., pp. 493-532.

[76]Edgar L. Morphet and David L. Jesser, ed., Cooperative Planning for Education in 1980: Objectives, Procedures and Priorities (New York: Citation Press, 1968), p. 63.

Further, none of the critical components of the leadership role, as presented in the preceding section, are given any mention in the enumeration of the phases. In Guba's presentation, for example, all of the critical roles for the educational implementer would appear to be contained in the one phase of "Diffusion".[77]

Guba cites Rogers' classification of the five stages of diffusion as:

> 1. Awareness: The individual learns of the existence of the innovation.
> 2. Interest: The individual seeks more information and considers the merits of the innovation.
> 3. Evaluation: The individual makes a mental application of the innovation and weighs its merit for his particular situation.
> 4. Trial: The individual applies the innovation on a small scale.
> 5. Adoption: The individual accepts the innovation for continued use on the basis of a previous trial.[78]

James Olivero presents a modification of the five steps above, giving these six steps: awareness, information, assessment, adaptation, pilot, and institutionalization.[79]

Yet another example of the use of Rogers' five stages is that by Miles, with only slight modification of the final step, adoption, to add adaptation or rejection as other possibilities at that final stage. He has this in the context of the five stages that change processes are said to

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[77]Guba, op. cit., pp. 292-295.

[78]Ibid., p. 292.

[79]Olivero and Buffie, op. cit., p. 22.

involve, following the design of innovations.[80]

As noted earlier, Havelock has written up an extensive survey of change; over 1,000 changes, with classification of these into 44 approaches, which are in turn grouped into 6 stages, according to what takes place between change-agent and the client-system.[81] Of the 44 approaches, Havelock sees three basic approaches being used by the great majority of those whose change activity was included in his survey; that of Guba and company labelled by Havelock as the Research, Development, and Diffusion (RD & D) model, the Social Interaction (S-I) model, and the Problem Solving (P-S) model.[82] The RD & D model has already received attention earlier in this section. The S-I model emphasizes using peer group and social pressures, like prestige spokesmen or setting up something "new" like T-groups, to get the people in the client-system involved in the change process and supportive of it.[83]

The Problem-Solving (P-S) model presents the client-system as one which seeks outside resource people and ideas to better solve problems. Experiments with this idea concentrate on developing "inside-outside" teams who work

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[80]Miles, op. cit., pp. 649-650.

[81]Havelock, op. cit., p. 11.

[82]Ibid., pp. 154-164.

[83]Ibid., pp. 159-161.

both on innovations and on creating an over-all system atmosphere that is conducive for it to solve problems (and eventually to act on the ideas for change). P-S, according to Havelock, is usually seen as a patterned sequence of activities beginning with a need, translated into a problem statement and diagnosis, followed by a search and retrieval of ideas for use in selecting the innovation. After that, the innovation is adapted, tried out, and evaluated in terms of its effectiveness in satisfying the user's original or stated needs.[84]

Several variations on the above pattern of Problem-Solving are found in searching other literature. One of these is the contribution of Gordon Mackenzie, Professor of Education, Teachers College, Columbia University in the work entitled Innovations in Education.[85] A listing of what he calls phases in a process is shown for comparison purposes, as follows:

1. Criticism
2. Proposal of changes
3. Development and clarification of proposals for change
4. Evaluation, review, and reformulation of proposals
5. Comparison of proposals
6. Action on proposals
7. Implementation of action decisions[86]

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[84]Ibid., p. 155.

[85]Miles, op. cit., pp. 399-424.

[86]Ibid., p. 401.

Six sequential steps are in the problem-solving sequence submitted by Kenneth Hansen:

1. Identification of problems
2. Diagnosis of the problem-situation
3. Clarification of the diagnostic findings
4. Search for solutions
5. Mobilizing for change
6. Making the actual change decisions[87]

The problem-solving sequence by Shelley Umons is as follows:

1. Formulation and design of problem
2. Solutions developed
3. Initial testing and feedback
4. Solutions modified
5. Communication and dissemination
6. Implementation
7. Evaluation
8. Unsponsored continuation[88]

The classical conflict and crises models also are acknowledged by Havelock, and he abstracts from these and other studies the idea that the essential relationship is that between "change-agent" and "client-system". He states that the various orientations to innovation which have been considered in his survey should be seen as elucidating different but equally important aspects of a total process and, in attempting to build a synthesis from these various schools, he derives the concept of "linkage".[89] The resource person (change-agent) needs to develop a good

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[87]Morphet and Ryan, Planning and Effecting Needed Changes in Education, ibid., p. 25.

[88]Umons, op. cit., p. 57.

[89]Havelock, op. cit., p. 165.

"model" of the user system (client-system) in order to link to him effectively, and, at the same time, the user must have an adequate appreciation of how the "resource system" operates.[90] This forms the rationale for the six stages of the relationship between change-agent and client system as presented by Havelock. These stages are:

1. Developing a solid relationship between change-agent and client-system
2. Diagnosing the client-system's problems
3. Obtaining resources and information to solve that problem
4. Developing and choosing the solution
5. Gaining system acceptance for the selection
6. Stabilizing the system acceptance and use of the change.[91]

The above examples of change processes have been presented here as representative samples from a number of sources.

Planning

Olivero and Buffie have this to say about planning:

> If there is one point upon which consensus can always be established, it is the high correlation that exists between planning and ultimate success....Yet this basic need too often is overlooked or short-circuited by those who want to get on with the job. In their enthusiasm, innovators frequently suspect those who question too much or constantly seek clarification. To them, it appears that the innovator's motives are on trial, or that the questioners are trying to put unnecessary obstacles in the way of progress.[92]

Richard V. Jones, Jr., expresses his concern for

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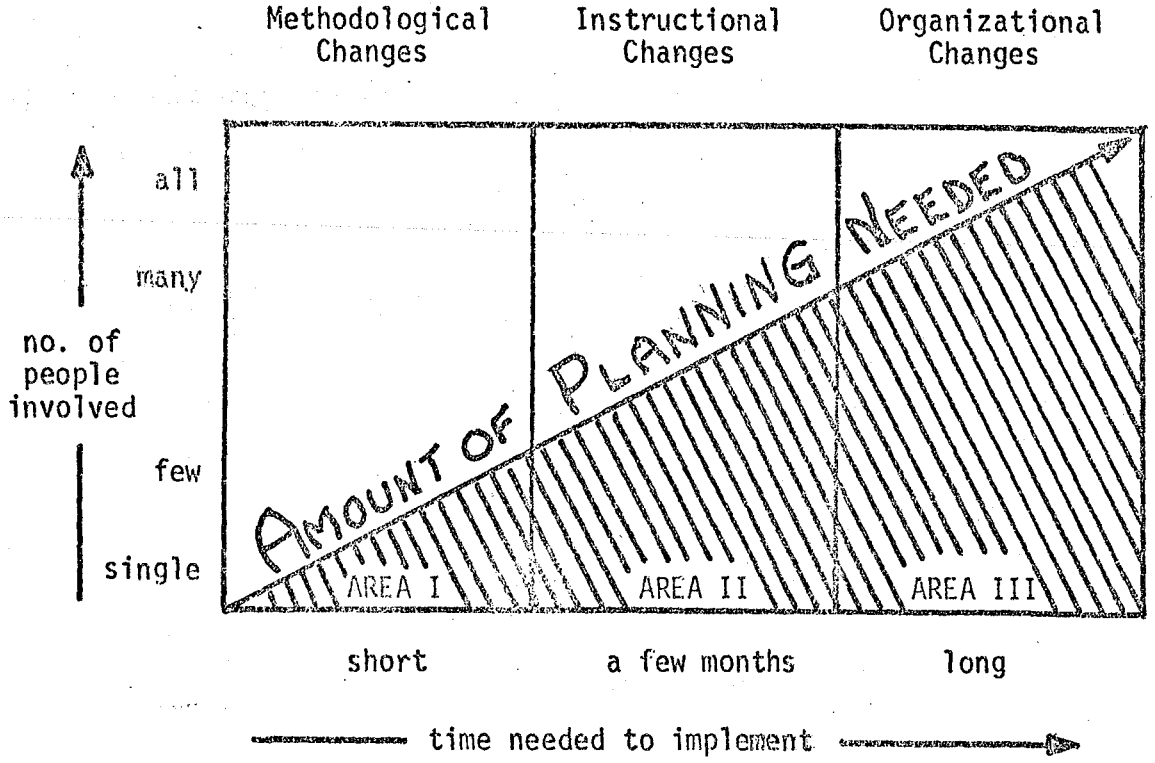
[90] Ibid. [91] Ibid., p. 11.

[92] Olivero and Buffie, op. cit., pp. 281-282.

the function of effective planning in an article in the Journal of Secondary Education.[93] In discussing three major kinds of changes--methodological, instructional, and organizational--he stresses that the amount of planning necessitated by these factors increases in direct proportion to the number of people involved, and the time needed for implementation. Support for this position is shown by the graphic adaptation of an approach developed in the model of change differences by Richard Miller, as shown below:[94]

A Model of Innovation Types



[93]Richard V. Jones, Jr., "Tuning Up the Staff For Organizational Change," Journal of Secondary Education, 44:339-345, December, 1969.

[94]Richard I. Miller, ed., Perspectives on Educational Change (New York: Appleton-Century-Crofts, 1967), p. 369.

An excerpt from Hansen's material, quoted earlier, is repeated here to emphasize one aspect of the task faced when trying to select a planning strategy or sequence:

> There are almost as many strategies, procedures, methodologies and approaches to planning for change as there are scholars in the field and practitioners of the art. No one of these 'models', as they are often called, is without merit; yet no one of them can arrogate to itself all possible virtues.[95]

Whether or not there could be a problem in selecting a planning sequence, that such selection should take place is given support by Robert Owens in his book entitled, Organizational Behavior in Schools. He notes the need for a strategy when he says, "The administrator must either leave change in his organization pretty much to chance or deliberately map out a strategy to foster change."[96]

The search for strategies concludes with a planning design and step sequence for effecting change presented by A. Neil Galluzzo, superintendent of the Inglewood Unified School District in Inglewood, California.[97] His district and the community devoted two years to development of a "Plan for Planning", summarized as a series of charts in the Appendix, as Exhibit H. Their step sequence is selected as the "Model" change process of this study for the following reasons:

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[95]Morphet and Ryan, op. cit., p. 25.

[96]Robert G. Owens, Organizational Behavior in Schools (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1970), p. 161.

[97]A. Neil Galluzzo, "A School District Plans for Planning," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), pp. 33-42.

1. The planning design and change process sequence were developed by a representative committee of community members and school district staff in a school setting.

2. The planning design and change process sequence were major presentations to the California Association of Secondary School Administrators and were then included in the special publication, "Matrix, 1970", as noted above.[98]

3. The change process contains the steps recommended by many authorities on change. Its major utility over other models is that it recommends inclusion of "Goals" and of "Objectives" which are required by federal agency grants.

SUMMARY

This chapter presents a review of the literature that the researcher considers pertinent to the practices of administration, with particular attention given to those aspects concerned with the effective management of change.

The chapter reaffirms an accelerating pace of change and the need for an organized approach to the effective management of change. It presents the current status of change theory in education and notes some components of the role which the chief administrator of an educational system might provide in the effective management of change. The chapter concludes with the presentation of some of the change processes that are described in current literature.

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[98] Ibid.

Chapter 3

METHODOLOGY AND PROCEDURES

INTRODUCTION

As noted earlier, the problem of this study is to select and describe the sequence of steps that comprise the designated model of a change process and to compare that sequence with the steps followed by the superintendent of the Berkeley Unified School District during the development and first year of implementation of the Experimental Schools Proposal. The final phase of the study is to develop some recommendations appropriate to the findings.

This chapter presents the research design chosen as the methodology of this study. It also presents the model change process whose sequence of steps have been selected as the standard for comparison purposes. The steps taken by the superintendent of the Berkeley School District, as noted above, are compared against that designated model. The chapter also describes the procedures for the study: (1) the review of records, direct observation, and informal interviews which are the secondary data sources, and (2) the development and utilization of the formal interview guide which is the primary data gathering instrument. The chapter concludes with an explanation of the format used for

presenting both primary and secondary data which are analyzed to seek answers to the questions posed in this study and to provide the basis for recommendations developed out of the study.

METHODOLOGY

The methodology used for any specific study depends upon the model used to guide the study. The research design should bring data, data collection, and data analysis together in an appropriate fashion.[1] Since the process model used for this study involves many variables and multi-situational data, the case study method was selected because of its unique procedural suitability to these circumstances. In his book entitled Understanding Educational Research, Deobold Van Dalen describes the case study method as follows:

> In a case study, an educator makes an intensive investigation of a social unit--a person, family, group, social institution, or community. He gathers pertinent data about the present status, past experiences, and environmental forces that contribute to the individuality and behavior of the unit....Case studies probe in depth: they may examine the total life cycle of a social unit or may focus attention on a specific phase of it....Case study data may come from numerous sources. An investigator may ask subjects to recall past experiences or to express present wishes in interviews or on questionnaires.[2]

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[1]James M. Beshers, "Models and Theory Construction," American Sociological Review, 22:34, April, 1957.

[2]Deobold B. Van Dalen, Understanding Educational Research (New York: McGraw-Hill Book Co., Inc., 1966), pp. 218-219.

The case study approach provides an opportunity for a wide range of detail by enabling the researcher to see the activities of an organization as they occur day by day. It also becomes one means for identifying latent behavior patterns of which the participants are not aware and so might not be able to report using another approach.[3] In general, the benefit of using this approach for this study is that it affords the opportunity for detailed probing and seeing the Experimental Schools Project as an ongoing whole.

The basic intent of this research design is, therefore, to use the case study approach to systematize and to develop a regularized means of studying an innovative process related to change in an educational system and to make some organized sense of the data collected. From such systematizing the researcher obtains insight into the functioning of educational leadership, particularly as it relates to basic principles of a change process.

The Selected Change Process Model

A representative sampling of the findings from an extensive search of the literature dealing with change processes are reported in chapter 2 in the section entitled "Some Change Processes". Seeking and organizing material about change processes confirms the value of such research,

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[3]Seymour Martin Lipset, et. al, Union Democracy (Glencoe, Ill.: The Free Press, 1956), p. 419.

as is stated by Robert Owens:

> In some cases the observer will find in the recorded research literature clues or insights that will foreshadow the results of his research. The expectation thus aroused in the researcher is referred to as direction in the research.[4]

As he suggests, insight was gained about the role of planning and about change processes which gave direction and led to a search for some indicated relationship between planning and a process for change.

It was noted earlier that a "Plan for Planning" and a related change process are found in the presentation by A. Neil Galluzzo.[5] After completing work on the plan the same group that had spent two years at that task with Galluzzo had turned their attention to developing a process model for effecting change. The result is a series of steps, as follows:

1. Define problem
2. Current needs
3. Mission statement:
   Goals
   Objectives
   Measurable objectives
4. Alternative solutions
5. Selection of solution to implement - priorities
6. Implementation
7. Evaluation[6]

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[4]Robert G. Owens, Organizational Behavior in Schools (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1970), p. 40.

[5]A. Neil Galluzzo, "A School District Plans For Planning," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), pp. 33-42.

[6]Ibid., p. 40.

This model is selected as the "frame of reference" against which the change process of developing and implementing the Berkeley Experimental Schools Project is compared. Only minor modification is made in the model, namely, removing the "Measurable objectives" sub-step from the Mission statement of step 3. By definition in this study, objectives must be measurable; once so defined it is not necessary to have both "objectives" and "measurable objectives".

This model is selected primarily because it is the only sequence, of the many considered, which includes written reference to goals and objectives in the sequence. Further, the model was developed from a practitioner orientation, by a partnership of those concerned with education in a community and its school district. Finally, it was not created in a vacuum or in a state of emergency; two years went into the "Plan for Planning", with all of the attendant learning experience for its developers, after which that same group turned its attention over a period of months to developing the process model by which a school district should initiate and manage change.[7]

Stating the positive features of this model is not to suggest that the sequence is totally complete. There are omissions, and these would include the failure to give some written reference to the need for establishing two-way communication and the need to reduce staff anxiety. Both of

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[7]Ibid., pp. 33-42

these are leadership responsibilities noted in the literature reported in chapter 2.

A clear and complete process model is needed for the comparison purposes of this study and to guide the research. The explanation of each step in the selected sequence which follows therefore fills the voids noted above and amplifies step descriptions with details in a synthesis from a number of sources.

1. Define Problem

This first step establishes the general direction for action, or at least points up the potential areas in which there could be further expenditures of energy. It is at this stage that the change-agent or leadership group is presented with a warning by Havelock: "Perhaps the most important thing to remember about diagnosis is to beware of the obvious...most problems have several layers."[8] When Hansen discusses identification of problems, he advises, "At this first step, it is very easy to get waylaid at the obvious symptomatic level, instead of examining the real basis of the problem, or even verifying its existence."[9]

Identifying and defining problems can be activity

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[8]Ronald G. Havelock, The Change Agent's Guide to Innovation in Education (Englewood Cliffs, N.J.: Educational Technology Publications, 1973), p. 64.

[9]Edgar L. Morphet and Charles O. Ryan, ed., Cooperative Planning for Education in 1980: Objectives, Procedures, and Priorities (New York: Citation Press, 1968), p. 26.

concurrent with at least the first phase of a needs assessment. According to Havelock, the system's participants --community, students, and staff--must be given opportunity for input about what they think needs improvement. He suggests that the change agent may wish to interpret their input and infer underlying causes, but that these judgments should always be based on two criteria:

> Does the interpretation stem from an honest and objective analysis of the available evidence?
> Is it useful in helping us understand what sort of solution we should be looking for?[10]

2. Current Needs

After the identification and definition of one or more problems in step one, this step continues the process with the analysis and interpretation of all information that can be obtained regarding the history, causes, and ramifications of each problem. Without this, there is no secure basis for determining what needs to be done or what resources need to be sought.[11]

Samuel Mangione gives support for this, saying:

> The identification and assessment of needs comprise an important element in the process of change. This step can be used to develop an awareness of the necessity for change in all individuals to be affected by such change.[12]

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[10]Havelock, op. cit., p. 65.

[11]Morphet and Ryan, loc. cit.

[12]Samuel Mangione, "Bringing Perspective to the Change Situation," Educational Leadership, 27:361, January, 1970.

The end result of this step should be a thorough accounting of the resources needed and those available in the system or from other sources. According to Havelock, this asks if the system has or can obtain the resources needed for the change effort in terms of people, time, money, materials, and facilities.[13]

As an example, this accounting of resources should help the change-agent determine whether the system's staff have the skills necessary to make use of new techniques or otherwise cope with the demands of the anticipated change. If not, he must determine if the system can train those who are already on the staff. If that isn't possible, he must then determine if the system can recruit the type(s) of people needed.[14] It is important to note that, regardless of which condition the change-agent finds in existence in the system, clear-cut job descriptions are prerequisite to any training or recruitment actions.

3. Mission Statement

This is a general statement of the job to be done, the change to be accomplished. It in turn is broken down into goals and operational objectives, as shown below:

a. Goals

As defined, goals are outcome intents which are

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[13]Havelock, op. cit., p. 71.

[14]Ibid.

measurable on a nominal scale; that is, which are outcomes stated in terms of labels or intents. They are statements of broad direction, general purpose, or of intent.[15] The critical value of goals and leadership's role in setting them receives attention in an earlier section in chapter 2 entitled, "Setting Goals and Objectives". The importance of staff having shared goals is noted by Thompson.[16] Other values of this step in the process are contained in some references to Lewin's work and that of Schon.[17, 18]

b. Objectives

As defined, objectives are outcome intents which are measurable on an interval or ratio scale. That is, they can give a concrete, comparative measure of achievement.[19]

The need for objectives and their value to the process of change receives attention in the prior section entitled, "Setting Goals and Objectives". This is illustrated by the quotation from Thompson's work[20], and that

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[15]Fenwick W. English and Roger A. Kaufman, Needs Assessment: A Focus for Curriculum Development (Washington, D.C.: Association for Supervision and Curriculum Development, 1975), p. 65.

[16]Victor A. Thompson, Modern Organization (New York: Alfred Knopf, Publisher, 1961), p. 184.

[17]Ibid., p. 95.

[18]Donald Schon, Technology and Change, the New Heraclitus (New York: Dell Books, 1967), p. 133.

[19]English and Kaufman, loc. cit.

[20]Thompson, op. cit., p. 95.

from Whyte.[21] In this reference to the work of Kurt Lewin at Harwood, Whyte stresses the need for subordinates to be made aware of objectives.

Finally, objectives are considered basic to having valid evaluation take place. Joseph H. Oakey, Director of Research and Planning, Niskayuna Public Schools, Niskayuna, New York, expresses this in making the major presentation to the California Association of Secondary School Administrators.[22] He also states, "The true evaluation is conducted as a comparison of the measured outcomes to stated goals."[23]

4. Alternative Solutions

According to Hansen, this step should encompass a search for the derivation of all possible alternative solutions from the data available, for he says:

> It is almost inconceivable that there would be only one 'right' solution...or pattern of solutions...Rather, the possible solutions tend to formulate themselves into recurring sets of alternatives.[24]

Mangione suggests several approaches that can be of assistance in this search. These include "brainstorming"

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[21]William F. Whyte, Organizational Behavior: Theory and Applications (Homewood, Illinois: Richard D. Irwin, Inc., 1964), p. 33.

[22]Joseph H. Oakey, "Planning for Educational Change," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), p. 55.

[23]Ibid.

[24]Morphet and Ryan, op. cit., p. 27.

with representative staff groups, circulating questionnaires or other survey documents among the staff, searching the literature devoted to the problem area, and calling in outside consultants knowledgeable in the problem area.[25]

5. Selection of Solution to Implement - Priorities

At this stage, dependent upon the degree to which the search for alternative solutions has been successful, choices must usually be made between the alternatives, says Mangione, because school systems are confronted with realities of limited resources, human and material, as well as time constraints.[26] This makes it necessary, he says, to establish priorities to assist in the selection process.

Speaking to this point, Hansen says that:

> Establishing priorities when the choice is clearly between 'the good' (beneficial) and 'the bad' (harmful) presents no real problem, but establishing priorities among various 'good' alternatives is always difficult.[27]

Further, he indicates that it is in this step, when there is a necessary choice between alternatives having equally valuable and worthwhile priorities, that the process of elimination becomes most complex and difficult.

The critical value of an earlier step in this model of the change process, establishing goals and objectives, is

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[25]Mangione, op. cit., pp. 361-362.

[26]Ibid.

[27]Morphet and Ryan, op. cit., p. 28.

given weight at this point by Arnn and Strickland. They state that there is little probability that alternatives can be identified as solutions that are better or best suited to the needs of the problem unless the general direction of the problem has been refined or delimited in terms of some specific objectives.[28]

Hansen suggests some empirical bases which are subject to rational analysis to a degree:

> Such considerations as the likelihood of success for a given change, its viability, the chance that it will spark further changes, the cost-effectiveness ratio of a proposed change--all of these can be assessed with some degree of assurance that the results are at least likely to ensue.[29]

He goes on to say:

> But of greater importance in setting priorities is the question as to what is most worthwhile in terms of accepted goals. This--like all value judgments--is ultimately a subjective one.[30]

The value of clearly stated goals, about which there is staff consensus, seems supported and emphasized by the above. Hansen's statement suggests that there is no other way by which subjective decisions about alternative solutions can maintain directional consistency without such goals.

6. Implementation

This step is the entire purpose of the planning and

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[28]John Arnn and Ben Strickland, "Human Considerations in the Effectiveness of Systems Approaches," Educational Technology, 15:14, August, 1975.

[29]Morphet and Ryan, loc. cit. [30]Ibid.

effort to this point. It follows on the heels of having selected the solution judged best, within the available and obtainable resources of the system.

Louis J. Rubin discusses a series of steps in the implementation phase of innovation; a series concluding with the installation of each innovation and its integration with the permanent system.[31] The first of these steps is the rational analysis of each innovation's requirements in terms of training, materials, and the innovation's integration with the existing program. After these requirements are determined as accurately as possible the leadership is then judged responsible for the next steps of establishing the prerequisite conditions and for providing transitional support. These are noted to set the stage for an explanation of the implementation phase; organized to reflect the literature findings reported earlier. The first portion deals with some leadership responsibilities for developing the change relationship involving two-way communication. The second part deals with leadership responsibilities for reducing staff stress and anxiety. This second portion includes such topics as communicating new work doctrines, new role descriptions, and training of staff.

There are critical relationships between Rubin's

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[31] Louis Rubin, "The Mythology of Innovation," California Journal for Instructional Improvement, 12:140, October, 1969.

steps and the two areas which follow. These areas contain previously noted findings in support of these phases of innovation. Rubin's steps show interrelationships between these areas in effecting implementation of change.

a. Communications Network

No single person in any system has more authority or command of system resources than the top leadership role, according to Altman.[32] The chief administrator is the one individual who has the necessary communication channels established or who is in the best position to initiate actions to establish such a two-way communications network. The key here, according to Rubin, is that it be a two-way flow that is both reliable and available without threat to its users. It is not sufficient to have means for sending out information about actual or contemplated changes from top leadership; there must be feedback to determine how staff members are perceiving the information, what distortions or voids exist, and what suggestions and concerns the staff have about these changes.[33] This is an important part of responsible implementation according to Rubin's first step dealing with integrating the change into the existing system and in terms of the findings of Alexis and

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[32]Harold Altman, "Implementing Planned Change in the Public Schools," California Journal for Instructional Improvement, 12:83, May, 1969.

[33]Rubin, op. cit., p. 162.

Wilson.[34]

After determining potential problem areas regarding integrating the innovation into the existing system, leadership has the responsibility of building necessary discussion opportunities into the communications network to reduce friction resulting from ignorance and misunderstanding about the innovation.[35] This is very similar to the situation described by Guest regarding the Harwood plant and the need for leadership to recognize the values of an "increased span of cognition" in communication, as well as in reduction of staff anxiety, and take appropriate action to obtain it.[36]

b. Reducing Staff Stress and Anxiety

Guest's research findings indicate that effective communication techniques and open, two-way communication channels are vital to the success of much that is presented in this implementation section; having more information reduces stress because staff can cooperate better under such circumstances, as illustrated by his "increased span of

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[34]Marcus Alexis and Charles Wilson, Organizational Decision-Making (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1967), pp. 66-68.

[35]Rubin, op. cit., pp. 162-163.

[36]Robert Guest, Organizational Change: The Effect of Successful Leadership (Homewood, Illinois: Richard D. Irwin, Inc., 1962), p. 131.

cognition".[37] This same source also stresses the value of informing staff about contemplated changes. Information of this nature fills an important need when individuals become anxious about new roles and changes in lines of authority. Litterer also covers much of this area of stress potential; his research emphasizes the need to give information about new roles and other changes to enable staff to operate with a minimum of confusion and resentment.[38]

Whyte reaffirms the need for clearly stated work doctrine and authority clarification to offset insecurity and resistance resulting from change.[39] His work presents the concept that as new role expectations develop or new techniques are needed, training opportunities in advance of need should be provided for staff. Here again is shown the interrelatedness of Rubin's first step which calls for leadership's rational analysis of training needs. His material shows that this is an important aspect of implementation: the anticipation of training needs and its provision prior to need so that individuals are more quickly and completely effective in their new roles or when using new techniques.[40]

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[37]Ibid., pp. 131-133.

[38]Joseph A. Litterer, Organizations: Structure and Behavior (New York: John Wiley and Sons, Inc., 1963), pp. 283-284.

[39]Whyte, op. cit., p. 569.

[40]Rubin, op. cit., p. 162.

7. Evaluation

Blanzy gives a succinct explanation of this step:

> Evaluation is a continuous process intended to provide information relative to the attainment or lack of attainment of the goals of a system. In evaluating a project, the evaluator will be interested in more than just whether or not the program has met its objectives. ...data will be collected and analyzed with respect to attitudes of the community, faculty, and students toward the innovations, complete cost benefit and cost effectiveness studies, and the logistics of the program as well as its effect upon the total institution.[41]

This describes an evaluation effort appropriate to an extensive innovation. It includes acknowledgment of both goals and objectives being basic to the evaluation process, and then extends into a multi-faceted concern with attitudes, cost studies, and other outcome questions.

Havelock cautions about evaluation, when he says:

> Evaluation is one of the tasks which the change agent should encourage others to undertake...because the change agent may be too subjectively invested in the innovation.[42]

Galluzzo indicates that, whoever does the evaluation, the techniques must vary according to the outcome that is being judged. Program evaluation, judging new content or new techniques, requires systematic testing; attitudes and institutional effects can be evaluated using interviews and other survey techniques; and, cost studies must use combinations of one or more of the above techniques together

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[41] James Blanzy, "A Change System for Education," Educational Technology, 14:47, April, 1974.

[42] Havelock, op. cit., p. 135.

with cost accounting procedures that have been analyzed for validity to that purpose.[43]

The evaluation process should include measurement or rating of each of the phases of the planning and change processes. These should provide insight about how well the planners anticipated problems and how well leadership has analyzed training and other needs.[44] This, according to Oakey, is an attempt to determine just how effectively each of the steps has been managed.

Oakey emphasizes that, as the data are collected, the feedback should be added to many of the components.[45] If possible, the data feedback should go all the way back to the phase where the organization is defining what it chooses to designate as the problem. He points out that in this way clarification of each step can occur. Using the feedback in this manner, he says, can bring improvement in the way in which change is planned and managed. Further, he feels that a concurrent benefit could be that of alerting the leadership to appropriate modification(s) in the innovation. Such assistance could allow the innovation to be adapted and integrated into the permanent system with a minimum of stress for the participants.

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[43]Galluzzo, op. cit., pp. 40-42.

[44]Oakey, op. cit., p. 55.

[45]Ibid.

PROCEDURES

Data for the study were obtained from four main sources: (1) direct observations at meetings of the Board of Education, staff meetings, and work-group sessions; (2) the review of tapes and minutes of meetings, employee organization newsletters and bulletins, Superintendent's Newsletter and bulletins, and newspaper accounts of the various activities; (3) unstructured interviews and informal talks with all of the seven central project staff members and with at least ten of the directors of experimental schools; and (4) structured interviews with thirty-two significant participants. These structured interviews were with sixteen directors of experimental schools, two of the assistant directors where directors were unavailable, seven central project staff, and seven others who had helped with the original development or writing of the project. None of the interviews were with participants at any level who joined the project after its development and first year of implementation.

The investigation began with a review of available records. Documentary analysis provided a great deal of evidence establishing the sequence and content of project development and implementation events that took place within the organization. Once this overview was obtained, it then became possible to focus more attention on those events which seemed to have particular significance for

this study.

Concurrent with that search of documents there were many direct observations made by the researcher by attending board meetings and workshops devoted to consideration of the Experimental Schools Proposal and related matters during the summer and fall of 1971. Direct participation in meetings of the Experimental Schools staff also allowed considerable material to be gained first-hand, as did involvement with a variety of work sessions during the summer of 1971 and throughout the entire 1971-1972 school year.[46]

From July, 1971, until the fall of 1974 at least seventeen participants were engaged in conversation by the researcher. These talks and unstructured interviews were initiated by the researcher, who spoke with some of these participants about the initial phases of the project several times during those three years. As noted earlier these participants included all of the seven central project staff and at least ten of the directors of experimental schools. Their responses to the researcher's questions and their voluntary comments encouraged the researcher's feeling that this project merited further inquiry. However, there was a need to establish some system upon which the investigation could proceed in an organized fashion.

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[46]The investigator was the administrator of the building which housed the central administrative staff of the Experimental Schools Project during the entire project period. That same building contained the conference rooms used by project staff for most of their meetings.

An extensive search of the literature provided a frame of reference to give structure to the investigation. The frame of reference is the modified sequence of steps presented earlier in the methodology section of this chapter. It is designated as the "model" change process for comparison purposes. In turn, that frame of reference suggested the four major questions of the study which should be answered by the research. These four questions provided the beginning point for data gathering and analysis and formed the basis for the initial interview questions that were tested as a pilot instrument with five participants. From that trial evolved the questions and format that were developed into the structured interview forms used with the thirty-two significant participants in the Experimental Schools Project, as noted above.

Two interview forms were developed, with identical question content but with slight wording changes to suit the role of the respondents; one set for experimental school directors, the other for project developers and the central project staff (see Exhibits I and J in the Appendix for these two interview guide sets).

An introductory statement was developed to use with each interview. Entitled "Rationale", this statement was handed to respondents just prior to the interview with the request that they read it and thereby establish the basis for the research study and the interview (see formal statement as Exhibit K in Appendix).

The length of the interview was of concern to the researcher since most of the potential respondents were busy individuals. Because of this concern, the interviewing instrument was divided into two sections. The first section contained all those items judged most critical to the needs of the study, structured for objective responses within an expanded scale ranging from "Agree Strongly" to "Disagree Strongly". These expanded options were used to gain some indication of the degree to which there were strength to the agreement or disagreement by the respondents. The second section's items were those judged important but not critical to the basic thrust of the study. These items were either open-ended or had objective response options which were followed by open-ended question formats.

This separation was done in the belief that, if some of the respondents did not agree to give the additional time required for the second section, the data from the first section could provide sufficient material to answer the four major research questions of the study. If respondents did agree to provide the additional time required for the second section they would be encouraged to give additional information beyond the questionnaire that was relevant to the research. The intent was to provide a vehicle for an open-ended dialogue between the researcher and the project participants. Additional information that was judged particularly appropriate because it seemed relevant and illuminating was written verbatim immediately by the

researcher and then read back to the respondent to confirm the record's accuracy.

Answers from the structured interviews offer the primary data of the study. The voluntary responses given in unstructured interviews or as informal conversation, as well as the documentary material retrieved from a variety of district locations, supply the secondary data sources.

It is not the correctness of the particular change-concept, and its end result, which is of concern here but rather the degree to which the participants believe that the transition period was or was not more difficult or more disruptive of organizational efficiency than needed to be. Also, most of the Berkeley District's participants had individual decisions to make within the framework or guidelines of the project's doctrine. Some of the questions seek to determine if now, three years later, there is confusion or disagreement about the project's goals and objectives, or any substantial question that these truly existed in clear, written terms.

In that same manner, an analysis of participant responses can indicate whether or not--in their opinion--basic principles of the model change process were followed in the management of this specific change. From the data gathered it is possible to establish an evaluation of the degree to which the seven steps of the change process were followed during the development of the project proposal and during the first year, the initial implementation period.

Those seven steps were as follows:

1. Define problem
2. Current needs
3. Mission statement:
   a. Goals
   b. Objectives
4. Alternative solutions
5. Selection of solutions to implement - priorities
6. Implementation:
   a. Communication network
   b. Reducing staff stress and anxiety
7. Evaluation.[47]

If the findings indicate that some steps were not followed, and that less effective management of change was the result as far as interviewed participants were concerned, some recommendations will be formulated for consideration in implementing future projects and as suggestions for the training programs for educational leaders.

Responses to the interview items are grouped in relation to the four major research questions of the study. No sophisticated statistical analysis of the data is felt necessary to the purpose of the study, in the opinion of the researcher. Instead, a tabulation of the degree of agreement or disagreement can be utilized as the means of securing a clear picture of the data obtained with the interviewing instrument. As noted earlier, this data is buttressed with excerpts from the supporting document

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[47]A modification of the change process model shown earlier: A. Neil Galluzzo, "A School District Plans for Planning," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), p. 40.

sources and comments where appropriate.

Matilda White Riley has listed some limitations of the descriptive case study which, in part, have influenced the development of these data gathering and presentation procedures: (1) in the case study the observer might be quick to impose certain restrictions upon the system due to his own understanding of the situation; (2) familiarity with the particular situation might dull the researcher's sharpness of observation, thus resulting in loss of objectivity; (3) it is difficult to obtain maximum reliability when attempting to be as flexible as the procedure allows; and (4) it is difficult for the reader to be sure just how specific evidence is secured.[48]

On the recognition that no procedure is without fault, a deliberate attempt was made to maintain an awareness of these limitations noted above, in order that they would be minimized to some degree. Further, a conscious effort was made to avoid having the views of the researcher contaminate the interviews or influence the analysis of organizational dynamics seen operating or reconstructed from the data.

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[48]Matilda White Riley, Sociological Research (new York: Harcourt, Brace and World, Inc., 1963), pp. 66-73.

SUMMARY

The foregoing material in chapter 3 presents the research design--the case study approach--chosen as the methodology of this study. It also presents the model change process, whose sequence of steps are selected as the standard for comparison purposes. Each step is given with sufficient detail to make clear its purpose in the process and the importance attributed to it.

The chapter also describes the procedures for the study. These included: (1) the review of records, direct observation, and informal interviews which were the sources of secondary data; and (2) the development and utilization of the formal interview guide which was the instrument for gathering primary data.

The chapter concluded with an explanation of the format to be used for presenting both primary and secondary data which are analyzed to answer the questions posed in this study and to provide the basis for recommendations developed out of the study.

Chapter 4

ANALYSIS OF THE DATA

INTRODUCTION

To organize data reporting and analysis in this chapter, applicable portions of both primary and secondary source data will be presented in relationship to the steps in the selected change process model for chapter 3. Those steps are as follows:

1. Define problem
2. Current needs
3. Mission statement:
   a. Goals
   b. Objectives
4. Alternative solutions
5. Selection of solution to implement - priorities
6. Implementation:
   a. Communication network
   b. Reducing staff stress and anxiety
7. Evaluation.

The data obtained from that comparative analysis will then provide the basis for answering the four major questions of the study.

Complete summaries of primary source data, the objective interview guide responses, are contained in the Appendix: Exhibit L summarizes responses obtained from site directors; Exhibit M contains those from participants who were writer-developers or central project staff; and Exhibit N is a consolidation of responses from both sets.

ANALYSIS

Step 1: Define problem

The Experimental Schools Education Plan stated the problem with which the district was concerned.[1] Detailed definition of the problem statement was achieved by describing on those three pages the needs for alternative education that were the proposal's focus, as follows:

> (1) the structural organization of the school system where education does or does not occur, (2) the curriculum component and the manner of its presentation in the organization of the public school, and (3) the generally impotent, pseudo decision-making opportunities for parents and other non-educators in the category of community participation.

It is the researcher's opinion that the requirements of the first step in the change process model were met by the definition and description of the problem as presented in the first three pages of the above mentioned proposal.

Step 2: Current needs

During an unstructured interview with the Director of Project Planning and Development, the researcher was told that the originators of proposed schools expressed the needs which gave rise to their alternatives.[2] These had

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[1] Office of Project Planning and Development, Experimental Schools Educational Plan (as submitted to the United States Office of Education, Experimental Schools Program, by the Berkeley Unified School District, Berkeley, California), May 21, 1971, revised June 8, 1971, pp. 1-3.

[2] Interview with Dr. Jay Ball, September 19, 1974.

contributed the basis of current needs as expressed in the Experimental Schools Educational Plan that was submitted to Washington. Some examples of these needs are: "To effect a significant reduction in individual and institutional racism..."; "...to make the school interesting, stimulating and educational for all students."; and "...to provide relevant instruction and experiences to...enable them to select possible careers for their life's work."[3]

On the surface, the above noted material would seem to have satisfied the second step of the change process model. However, according to Havelock, one end result of this second step should have been a thorough accounting of the resources that were needed and those that were available in the system or could be obtained from some other sources.[4] Havelock also says in that source that this accounting of resources should help determine whether or not the system's staff have the necessary skills and, if not, then determine if their system can train people already on the staff or recruit the type of people needed.

The researcher was unable to find any evidence of a survey or other search to determine if the Berkeley school system had or could obtain the resources needed in terms of

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[3]Office of Project Planning and Development, Ibid., pp. 22, 29, and 40.

[4]Ronald G. Havelock, The Change Agent's Guide to Innovations in Education (Englewood Cliffs, N.J.: Educational Technology Publications, 1973), p. 71.

people, time, money, materials, and facilities. It was of particular interest to the researcher to determine what had been done to determine the skills needed by alternative school directors and staff, what training should and could be obtained for them, or what new staff should be recruited. No evidence was found to indicate those questions had been raised or investigated.

The researcher therefore concludes that the needs statements above have only partially satisfied the step two requirements of the change process model. There was no accounting of resources needed. Indeed, evidence of a contradiction to the intent of such an accounting, even if such a survey had been conducted, was found in the Board of Education's action on July 27, 1971. The Board supported the central administration's direction to the Director of Personnel for all continuing regular and unassigned staff to be placed in any alternative school vacancies prior to the employment and placement of any new hires.[5]

Step 3: Mission statement

In a section of the Experimental Schools Educational Plan entitled "The Design" there was an overview of what the proposal intended to accomplish.[6] That overview included

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[5]Board of Education workshop, July 27, 1971. The researcher attended and made a record of the action.

[6]Office of Project Planning and Development, Ibid., pp. 8-10.

the following:

> The Berkeley Unified School District proposes to establish 24 separate alternative schools in a comprehensive K-12 plan in two attendance zones in the district involving nearly five thousand pupils. The design will provide a mechanism for continuous participation in educational experimentation throughout the entire school life of students who, in collaboration with their parents and teachers, choose this educational path. The program will be so structured that no student, K-12, who enters an experimental school at any juncture, will be denied the choice of alternatives at a future juncture. While the specific mode of a student's initial choice may not, and need not, persist throughout all 12 years of public schooling, the availability of choice will maintain. Conversely, any student, who in collaboration with his parents and teachers decides after entering an alternative school that he does not wish to continue, may opt out.
>
> The alternatives will provide a wide range of educational experiences that can meet the needs of a variety of student publics. These offerings attest to the District's high esteem for cultural pluralism and reaffirm the District's commitment to racial, socio-economic and ability group mixes. Further, the concept of integration is advanced to a higher level since in no instance is the racial mix perceived to be synonomous with racial absorption.
>
> Within the specified zones, and throughout all grade levels, as well as across the grades, no student need leave Zone A or D in order to participate in the alternative school programs; and the District need not jeopardize its control over desegregation.

In the judgment of the researcher, the initial requirements of the "Mission statement" were met in that section. However, there are two more components to this step--goals and objectives--which will be analyzed in terms of views stated about these sub-sections by the respondents during the depth interviews conducted by the researcher.

Step 3a: Goals

The approved project had retained the goals that

were originally submitted to Washington. These goals were:

> 1) to provide a system which can move toward the elimination of racism in the schools and the larger community and which will facilitate the acquisition of basic skills for those youngsters who are educationally disadvantaged, with special focus on those who are members of ethnic minority groups.
>
> 2) to provide significant changes in the administration and organization of the system so that power and decision-making become a shared activity.
>
> 3) to provide program options that will promote the cultural pluralism extant in the school community and affirm the District's value of it.[7]

Site directors were, in the researcher's opinion, the ultimate front-line administrators who were responsible for implementing the project and effecting project goals. Therefore, questions 2-5 were set up to determine the degree to which site directors and other significant project participants believed written, clear-cut directions were received by site directors, so that: (1) project goals were made known to site directors, (2) site directors were made aware of relationships between the project's goals and their own personal tasks and goals, and (3) site directors were made aware of relationships between the goals of the project and the goals of their experimental school.

In the last part of each interview item, those who responded that they did not agree that written, clear-cut directions had been received by site directors were asked if directors should have received such directions. If they

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[7]Ibid., p. 10.

expressed agreement, they were then asked from whom the directions should have come and when they should have been received--relative to the start of the project.

Interview item number 2 presented this statement:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding what were the change effort's (Berkeley Unified School District's) goals.

As can be seen from Exhibit N, only four site directors were in agreement with that statement, compared with fourteen who disagreed. The off-site participants who responded included the staff that might have been expected to do such communicating. That group split evenly, with seven agreeing with the statement and seven in disagreement. Only four of the twenty-four respondents felt that the site directors got such directions from someone else. Of the sixteen who did respond to the statement, "They should have (received such directions)", fifteen agreed that site directors should have received such directions. The project director was the most frequently mentioned source (N=10) and the superintendent was the next most frequent (N=5). There were fourteen of the respondents who felt such directions should have been received prior to the start of the project, with the only other respondent saying such directions should have been received during the initial implementation period.

Interview item number 3 presented this statement:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding how their personal tasks should be modified to help effect the change effort's goals.

None of the thirty-two respondents agreed this had happened. One felt directions had been received from elsewhere. Twenty-eight said that site directors should have received such directions, with the project director most mentioned as the source (N=20) and the superintendent next most frequent (N=11). Twenty-two said these directions should have been received prior to starting the project.

Interview item number 4 said:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding what their personal goals should be to help effect the change effort's goals.

Only four of the thirty-two respondents agreed that such directions had been received, with only one of these being a site director. None of the twenty-nine who answered the second portion agreed that such directions came from any other source. Twenty-four of the twenty-nine who responded felt that site directors should have received such direction with the project director the most frequently mentioned as the source (N=18) and the superintendent next (N=8). Twenty-three respondents indicated that such direction should have come prior to the start of the project.

Interview item number 5 stated:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding how each director's school's goals were to help effect the change effort's goals.

Of the thirty-two who replied, only two expressed agreement with that statement. Twenty-eight of those who answered 5b had but three in agreement that directions had

been received from someone else. Three of those who replied to 5c did not agree that site directors should have received these directions. The twenty-one who did agree mentioned the project director as the source fourteen times and the superintendent six times. Twenty of these indicated that directions should have been received prior to the start of the project, with the remaining respondent saying that such directions should have come prior to the start and then have continued during the initial implementation phase.

In summarizing this interview set, the responses to these compound items that dealt with receipt of directions about goal and task relationships will be restated as ratio and percentage comparisons.

The "a" section dealt, in each item, with receipt of directions from the person to whom site directors were felt accountable. The ratio of agreement to disagreement was as follows: 2a - 11:21; 3a - 0:31; 4a - 4:28; 5a - 2:28. Put another way, the percentage of disagreement that this had taken place was 65%, 100%, 87½% and 93% respectively. When site directors' responses are considered separately the ratios are: 2a - 4:14; 3a - 0:18; 4a - 1:17; 5a - 1:17. Percentages of disagreements are 78%, 100%, 94½% and 94½%.

When the "b" section was considered: 2b - 4:17; 3b - 1:30; 4b - 0:29; 5b - 3:25. In percentages, the rate of disagreement was 81%, 97%, 100% and 89% respectively. Percentages of disagreement were not appreciably changed when only site directors' responses were used.

The ratio was inverted in the "c" section when the respondents expressed agreement versus disagreement that such directions should have been received: 2c - 15:1; 3c - 28:2; 4c - 24:5; 5c - 21:3. In this case, agreement expressed in percentages would be 94%, 93%, 83%, and 87½%, respectively. When site directors' responses are considered separately, only one disagreed in each of the sections.

On the basis of data obtained through these four interview items, the findings indicate that even though a heavy majority of the respondents believed written direction should have been given to site directors, an extremely large proportion of those interviewed indicated their belief that such action had not been taken. Therefore, the researcher concludes that the requirements of step 3a of the change process model were not satisfied; there is too little support for an opinion that those charged with the responsibility of implementing the project's goals did in fact receive written, clear-cut direction about those goals or their relationships to the personal goals and tasks of the implementers or those of their alternative schools.

A second set of items was included in the questionnaire--to approach from a different direction the matter of project goals and relationships between those goals and personal goals and tasks and between those goals and alternative school goals. This second set, questions 23-26, was separate from and presented in an entirely different kind of format from that of the first set. It was the researcher's

opinion that it would be important to determine just what recollection the participants, particularly site directors, had about the project's goals almost four years after the start of the project. This seemed to have value for the study regardless of the source, degree, or manner by which the participants had become informed about the goals.

Item 23 was an open-ended question which asked: "In your opinion, what were the change effort's (Berkeley Unified School District's) goals?" Although seven of the site directors more or less specifically mentioned "Those in the green book" (a common phrase used in the district because copies of the project proposal were bound between green covers), only four of the non-site participants suggested those as the project's goals. Four site directors and three off-site staff said the goals in the green book formed a part of the project's goals, with a variety of statements suggesting that there were "unspoken" goals in addition to these. Seven of the site directors and seven of the off-site staff gave other goals with no mention of the goals submitted to Washington in the original proposal. A number from the last two groups exhibited a certain degree of cynicism; six of the directors and five of the off-site staff stating that the "real" goal had been to obtain some available federal money. Thus, at best, eleven participants suggested the original written goals without qualification. Seven others made some reference to those goals, but with some qualifications such as "although not internalized", or

"parroted back only, not agreed to." Thus the same number, eleven, gave the "real" goal as obtaining federal money in contrast to the eleven who mentioned the written goals of the original project.

Item 24 asked: "Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals?" Of the five directors and eight off-site staff who said "Yes", all but two indicated that the changes were the natural consequence of having taken new positions offered within the project. Only two of those who continued in their previous positions acknowledged having their tasks modified to help achieve the project's goals. Of the thirteen site directors and three off-site staff who said that there had been no modification of their tasks, none indicated that any modification was ever discussed with them by anyone connected with the project.

Item 25 posed this question: "In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?" In responding, only six site directors and three off-site participants mentioned the project's goals or stated anything expressing similarity between their personal goals and the project's goals. All twenty-three of the other respondents gave a variety of personal goals, few of which could be interpreted as having application toward helping achieve the project's goals.

The same general reaction was obtained in response to item 26, which asked: "In your opinion, what were your

school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?" Seven site directors and three off-site participants indicated that their school or office's goals had been identical or related to those of the project. The other twenty-two respondents expressed a variety of goals, of which only a few appeared to have even an indirect relationship to the achievement of the project's goals. Indeed, three of the site directors expressed some degree of anger about the relationship suggested by the wording of the question, saying that the goals of their schools had been so reworked and reworded in the negotiated project that there was no similarity to what had originally been evolved with their staffs. They went on to say that other alternative school staffs felt similarly "betrayed", having not been told of proposal changes until after the project was approved and school was about to start. In consequence, they said, they felt little compulsion to press their faculties to evolve alternative school goals which would express a relationship of helping to effect the goals of the project.

The net effect of these findings seems to project a picture of considerable confusion and disagreement about the goals of the project and about how the implementer's tasks and goals were to help achieve the project's goals. These data would tend to support the researcher's earlier judgment that the requirements of step 3a of the change process model were not satisfied. A majority of those charged with the

responsibility for implementing the project apparently were neither helped to develop consensus regarding project goals, nor were they helped to develop or understand relationships between their personal/component tasks or goals and the role of helping achieve the larger project goals. The importance of this shared knowledge of goals was stressed earlier in references to Thompson's work, where he noted the close and reciprocal relationship between communication, emotional security in an organization, the lowering of information distortions, and the reality of "shared goals".[8]

Step 3b: Objectives

Each of the alternative school proposals included in the Experimental Schools Educational Plan submitted to Washington had sections containing statements of intent which were designated as "Behavioral Objectives". However, these were not objectives as defined in Program-Planning-Budgeting-System for evaluation purposes or as defined in chapter 1 for the purposes of this study.[9] A review of the twenty-four alternatives and their stated "Objectives" found that only five of these options had any statements

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[8]Victor A. Thompson, Modern Organization (New York: Alfred Knopf, Publisher, 1961), p. 95.

[9]Fenwick W. English and Roger A. Kaufman, Needs Assessment: A Focus for Curriculum Development (Washington, D.C.: Association for Supervision and Curriculum Development, 1975), p. 65.

that met even a majority of the criteria of an objective, according to this study's definition. The others did not indicate which specific behaviors would be measured, what methods of measurement would be utilized, and what were to be considered the criteria used to measure the success or failure of achieving the desired behaviors.

This lack of objectives was reported to have been of immediate concern to the Level I evaluation component and one which continued to inhibit their efforts. This was confirmed by a research assistant who was with the evaluation team from its inception.[10] Greater attention will be given to this condition when Evaluation, step 7 of the change process model, is analyzed in more detail.

In another area of concern, during the search of the literature, the researcher had been impressed with the importance attached to the setting of goals and objectives and their interrelatedness. Of particular relevance to this area was the material by Alexis and Wilson, where they state that change participants should be given information to have in common about goals and their operational objectives and about the doctrine for solving day-to-day problems, so that confusion and ambiguity about daily work is reduced.[11]

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[10]Interview with Mr. Casey Jones, Research Coordinator, September 25, 1973.

[11]Marcus Alexis and Charles Wilson, Organizational Decision-Making (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1967), p. 316.

Interview items numbered 17 and 18 were inserted to obtain participants' views regarding whether or not there had been such informational assistance given to implementers of this project.

Number 17 stated: "In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems." None of the site directors agreed that this had occurred. Of the fourteen non-site respondents only six felt this existed, all six indicating the doctrine was in the "Green Book" (the negotiated project proposal). As noted earlier, the statements of intent in the proposal neither met this study's definition of objectives, nor did they serve the needs for evaluation purposes. While the latter purpose will be covered in some detail at a later stage in this chapter, it seems important to note here that statement number 17 elicited no agreement whatever from the site directors--the front-line implementers--that they had gotten this assistance.

Item number 18 asked: "If this doctrine wasn't printed, did the superintendent declare and/or publicize it in talks or some other means?" Again, none of the directors of the experimental schools agreed that this had happened; sixteen saying "No" and two saying that they did not know. Of the ten non-site respondents, only two said he had done so while eight said that he had not. Board workshops were mentioned as the setting by both "Yes" respondents.

Earlier in this section reference was made to one of the literature sources which had stressed the importance of participant knowledge of goals and objectives and their interrelatedness.[12] Lack of this type of knowledge, prior to the start of the Experimental Schools Project or during its initial implementation phase, was confirmed from yet another document source. In a review of the Training Component's history during the first 18 months of the project, the Associate Director for Training stated: "The first 18 month period was spent in assisting schools and directors in defining and interpreting objectives and goals of their program."[13] In another portion of that same document, he said: "It appears that during the first 18 months the schools have somewhat settled down and are now fully aware of the intent...of this project." (researcher's emphasis).[14] As will be noted later, even under the urging of the Associate Director for Evaluation, the first draft of objectives was not developed until June, 1972.[15]

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[12]Ibid.

[13]Astor Mizuhara, "Proposed Revision, 'Experimental Schools Five Year Educational Plan'" (Berkeley, Ca.: Second thirty-month plan submitted, after revisions, to Board of Education on February 25, 1973), p. Tr-2. (Mimeographed.)

[14]Ibid., p. Tr-3.

[15]Nathaniel Pugh, "Behavioral Objectives" (Berkeley, Ca.: Draft of Experimental School Objectives, June, 1972). (Mimeographed.)

The above findings led the researcher to conclude that the requirements of step 3b of the change process model were not satisfied.

Step 4: Alternative solutions

During a review of available documents which dealt with the Experimental Schools Project the researcher found the following statement:

> Berkeley was one of eight districts in the nation to receive a $10,000 planning grant to devise proposals for experimental schools. Educators and the community were invited to submit their plans for alternatives to the usual way of providing the basic academic skills. Some 200 such plans were created by school staff, parents and other Berkeleyans. A committee consisting of people from school staff and the community culled through all of the proposals and came up with a package that was taken to the United States Office of Education.[16]

The accuracy of that statement was confirmed in a discussion with the Director of Project Planning and Development.[17] It was also confirmed in another context during an interview with one of the developer/writers.[18] Both of these respondents indicated that approximately one month had been available for alternative proposals to be developed and submitted after the initial invitation. Then, almost fifty staff and community members had spent yet another month in

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[16]Office of Public Information, Experimental Schools in Berkeley (an informational brochure, published and distributed city-wide by the Berkeley Unified School District, Berkeley, California), September, 1971, p. 3.

[17]Interview with Dr. Jay Ball, September 19, 1974.

[18]Interview with Mrs. Eileen Rygh, May 6, 1975.

review of over two hundred proposals--from which they had selected the twenty-four that made up the project proposal.

This extensive involvement of staff, parents, and community members in both the development and the review of a relatively large number of proposals for experimental schools appears to be ample support for the judgment that the requirements of step 4 of the change process model were satisfied.

Step 5: Selection of Solution to Implement - Priorities

With the letter from Robert Binswanger, Director of the Experimental Schools Program, Office of Education, Washington, D.C., was an enclosure which stated the guidelines within which proposals should be developed (see copy of letter and enclosure as Exhibit D in Appendix). At a meeting on February 22, 1971, the Director of the Office of Project Planning and Development distributed copies of these guidelines and established them as the federal priorities on which proposals would be judged for possible inclusion in the proposal to be submitted by the school district (copy of invitational letter shown as Exhibit E in Appendix).

According to the Director of Project Planning and Development, those guidelines did provide the priorities for judging proposals.[19]

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[19]Interview with Dr. Jay Ball, September 19, 1974.

The above information supports the conclusion that there were priorities which were used to guide development of proposals and then were used as the screening device when selecting those to be implemented. On that basis, it was the researcher's judgment that the requirements of step 5 of the change process model were satisfied.

Step 6: Implementation

In searching the literature the researcher had found the work of Louis J. Rubin particularly appropriate to this phase of the selected change process model.[20] In Rubin's presentation of a series of steps in the implementation phase of innovation, the first step had included an action sequence which was to take place prior to beginning any actual implementation. This sequence included the rational analysis of each innovation's requirements in terms of training, materials, and its integration with the existing program. After an extensive review of available district records, the researcher was unable to uncover any documented evidence that such an analysis had been done prior to the start of the project.

This topic was probed further in discussion with the Associate Director for Training.[21] He indicated that there

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[20]Louis J. Rubin, "The Mythology of Innovation," California Journal for Instructional Improvement, 12:140 October, 1969.

[21]Interview with Mr. Astor Mizuhara, May 6, 1975.

had been no such analysis made by anyone, to the best of his knowledge, prior to the start of the project. Additional attention will be given this point in a later section.

That same source in Rubin's work also stated that the leadership is responsible for providing transitional support and for establishing the prerequisite conditions for implementation.[22] Two interview items addressed this need for prior planning and assistance during the transition.

Item number 1 asked for agreement or disagreement with this statement:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding the special problems to anticipate during the change process period.

As can be seen from Exhibit N, only one respondent agreed with the statement. The eighteen site leaders disagreed, twelve strongly. Eleven of the thirteen non-site participants who disagreed stated that they disagreed strongly. When the thirty-one who disagreed were then asked if site directors had received such directions from someone else, only three agreed. However, all three modified their reply by stating that these directions were not in writing, just word-of-mouth from the high school principal. Of twenty-nine who responded to the statement, "They should have (received such directions)", twenty-seven agreed that site directors should have received such directions. The project

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[22]Rubin, op. cit., p. 140.

director was the most frequently mentioned source (N=17) and the superintendent was the next most frequent (N=12). All twenty-seven who responded said site directors should have received such directions prior to the start of the project.

Interview item number 8 said:

> In your opinion, there was a plan for implementing the Experimental Schools Program prior to the opening of school in the fall of 1971.

Two site directors and three non-site respondents agreed with the statement, suggesting the "Green Book" as the plan. One site director said, "I don't know if there was a plan." The other twenty-six expressed disagreement, eleven saying they disagreed strongly.

The second portion of item number 8 was addressed only to those who disagreed with the initial statement. It was another statement, which said, "There would have been fewer conflicts and problems if there had been such a plan." Three of the twenty-six respondents disagreed, indicating a belief there would have been just as many problems and conflicts even with a plan. But, twenty-two agreed with the statement, seventeen saying they agreed strongly.

Finally, when those who had agreed with the initial statement were asked, "From whom (the plan came)?", there were only two who answered; one said, "From the superintendent," the other said, "From the project director, I guess."

These highly skewed responses to items 1 and 8 were seen as strong indicators of a failure to provide the site

directors with a plan or assistance in making the transition to the initial implementation of the Experimental Schools Project. Also, there was no evidence to document that an analysis was made regarding each innovation's requirements for training, materials, or how that innovation would be integrated with the regular program.

These findings led the researcher to conclude that the requirements of the preliminary phase of implementation, step 6 of the change process model, were not satisfied.

Step 6a: Communications Network

There were extensive findings from the literature which emphasized the importance of expanded communications during the change process, as noted in chapter 2. Because of this emphasis, the researcher developed a number of items for the interview guide to determine participant views about how this area had been handled during the initial implementation phase of the Experimental Schools Project.

Interview item number 6 was one of these, saying:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding the need/process for setting up communications system(s) to improve group problem solving.

Only three respondents, all non-site staff, agreed with that statement. Of the twenty-seven who disagreed, sixteen said they disagreed strongly. The ten non-site respondents who disagreed with that initial statement continued to disagree that site directors had gotten such direction from any other

source either. Three of the seventeen site directors stated that they had gotten such direction from someone else, but nine of the fourteen who disagreed said that they felt strong disagreement that site directors had been given such help from anyone else. Only two of the twenty-four did not agree that site directors should have gotten such direction, with seventeen of the twenty-two in agreement expressing strong agreement. These went on to name the project director as the most frequent source from whom such directions should have come (N=13) and the superintendent as the next most frequent source (N=6). Eighteen said the directions should have come prior to the start of the project; four said this should have occurred during the initial implementation phase, and one said it should have come prior to the start but then have continued during the initial implementation phase.

Interview item number 9 approached the need for some communication system in a different way, saying:

> In your opinion, there was a need for setting up communication system(s) to help group problem solving.

All thirty-two respondents agreed with that statement, with twenty-four of them saying they agreed strongly. Thirteen of this latter group were the non-site, central project staff--indicating that at the time of the interviews, at least, there was general understanding at the central level regarding the importance of establishing such communication. Twenty-nine of the thirty-two said that they were aware of a process that might have helped set up a communications

system to deal with group problem solving. Of the varied sources mentioned from which such awareness had come, most frequent mention was made of "experience" (N=25), with "academic training" next (N=10), and "personal reading" as the third source (N=7).

Another approach to the status of communication was used in interview item number 19, which had this statement:

> In your opinion, most of the participants in the Experimental Schools Project during its initial implementation phase knew what to expect from other participants at decision-making time.

Only one person, a non-site staff member, agreed with that statement. One said, "I don't know." The remaining thirty disagreed, twenty-one of them disagreeing strongly. When those thirty-one who had an opinion were then asked if this included parents, the one continued by saying that parents knew what to expect, but the other thirty said that parents did not know what to expect either.

Interview item number 20 continued to probe for views regarding the need for communication during a change process by presenting this question:

> In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation?

All thirty-two respondents stated that organizational change required more such contact.

To determine if there were a pattern of project behavior in communications that would conform to, or deny, the majority view as expressed in response to item number 20,

four other interview items had been developed and inserted. These were items numbered 31, 32, 37, and 40.

Item number 31 was a follow-up to a question asked to determine if participants believed there were some "inner group" making decisions on critical problems. For those who thought there was such a group, item number 31 asked:

> In your opinion, if there was such a group how did they inform the larger directors' and/or teachers' groups of the nature of resolutions they reached in these "inner group" meetings?

A variety of responses were given to the researcher, with some of the answers indicating more than one method was used to inform these groups. A summary of these responses shows: "Through (central) monthly staff meetings" - 6; "They didn't (inform or communicate)" - 6; "Staff meetings at sites" - 4; "There was no pattern" - 3; "Through a memo" - 2; "Through public meetings" - 1; "Through newsletters" - 1; "Project director announcements" - 1; and "Through osmosis" - 1. The picture presented by this lack of pattern is interpreted as demonstrating that there were no established channel(s) for informing participants about decisions on problems, or that if such did exist, many of the significant participants did not know about it.

Since item number 31 had rested on a premise which could have been without validity (that some "inner group" did in fact exist), item number 32 narrowed the inquiry by asking: "Was there an 'institutional' information link for the informational sort of purpose?" Fourteen site directors

were joined by seven of the non-site staff in saying that there was no such link. The other seven non-site staff and the four site directors who gave "Yes" answers provided eight examples with no appreciable pattern, as shown by the following: "Monthly meetings" - 3; "Weekly director meetings" - 3; "Letters" - 1; and "Douthit" - 1 (reference to the public information specialist on the central staff.) Equal diversity of opinion came in response to the question asked of those who said there was an informational link; those eleven named the one in charge of seeing that the link worked, as follows: "Project director" - 4; "Douthit" - 3; "I don't know who" - 1; "Prior to the start of the project, the superintendent and the director of project planning were in charge" - 1; and "No-one was" - 2. This lack of pattern in item 32 was interpreted as demonstrating that there was no "institutional" information link for information purposes or, if such did exist, that many of the significant participants did not know about it.

Interview item number 37 asked: "Were there other feedback systems to handle unexpected program snags?" Of the thirty who responded, twenty-three said there were no such feedback systems. Two non-site staff said they did not know if there was any such system. Only five said "Yes"--four site directors and one non-site staff member. When asked to tell what the systems were, the five "Yes" respondents gave a variety of answers: "Project support staff" - 2; "Monthly meetings" - 1; "The project director's open

door" - 1; and "Memo letters and the project director's open door" - 1. When asked who had the power to make these feedback systems work, one said "Site Directors" and two said "The project director, to some extent." These few positive responses, and the diversity of opinion shown even then, was interpreted as demonstrating that there were no feedback systems or, if such did exist, that many of the significant participants did not know of their existence.

Interview item number 40 presented this statement:

> In your opinion, considering the parents' "need to know", one week in the fall of 1971 was a little short on time to get their cooperation.

Of the thirty-two who responded, only two asked for clarification of the statement. The others just assumed, correctly, that they were to respond in the context of the brochure about alternative schools that had been sent out to parents just one week prior to the start of school in September, 1971.[23] Almost without exception, respondents then also volunteered comment about parental confusion and irritation because of the lateness of information on which they were to base selection of an alternative school versus a "regular" school. Only one person, a non-site staff member, said "I don't know" in response to the statement; the thirty-one others all agreed with the statement, seventeen strongly so.

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[23]Office of Public Information, Experimental Schools in Berkeley (an informational brochure, published and distributed city-wide by the Berkeley Unified School District, Berkeley, California), September, 1971.

Item number 40 thus obtained very much the same type of response as had item number 20, showing an internal consistency among project participants regarding the need for effective and timely communication. However, items 31, 32, and 37 obtained findings showing District and Project practices in the communications area were judged to be quite different from effective two-way communications as described in literature dealing with processes of change management. At best, if there were special Project communication channels, their existence was not well known to front-line implementers and other staff.

One additional interview item--number 34--had been inserted to determine if concern about communication needs were justified. This question sought to elicit participant views about the existence of any problems in the communication area and whether or not these were of greater degree than what existed prior to the initiation of the project. It asked:

> Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?

Twenty-eight of the thirty-two who answered said "Yes" to that question. Then, asked if these problems were more, less, or about the same degree as those existing between new and continuing staff in the "regular" program, twenty-two of those twenty-eight said "More", five said they were about the same, and only one answered "Less".

The pattern of findings in the communications area seemed to justify added inquiry, outside of the structured interview. A separate meeting was therefore arranged with the information specialist who had been employed by the project as one of the original central office staff.[24]

She said that after the informational brochure of September, 1971, she had been assigned to produce several other informational pieces that were used in the media for general information to the public. She also had the task of working with alternative schools to assist them in any way they desired in the area of informing their publics. Concurrent with that, she became the project's Public Relations person, serving as the liaison between visitors and the alternative schools. She also wrote up the "Four-month" narratives that were the Project's reports to the Experimental Schools Office in Washington.

However, at no time was this specialist asked to analyze the project's internal communications, determine what the needs might be, and then work to improve communication channels for two-way information flow, particularly for front-line implementers. Assuming the central office was aware of internal communication problems, a lower priority had apparently still been given to internal needs for improved communication than to these other tasks.

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[24]Interview with Ms. Florence Douthit, June 3, 1975.

To summarize some major findings of this section:

1) Less than 10% of the respondents (3 of 31) agreed that site directors received directions from the person to whom they were accountable regarding the need or process for setting up communication systems to improve group problem solving. Less than 17% (3 of 19) felt site directors got such direction from anyone else either. However, 92% of those answering (22 of 24) felt site directors should have received such direction.

2) All thirty-two respondents agreed that there was a need for setting up communication systems to improve group problem solving.

3) Only one respondent agreed that most participants knew what to expect from other participants at decision-making times. Thirty felt participants did not know what to expect, and these same thirty said parents did not know what to expect either.

4) All thirty-two respondents stated that they believed organizational change requires more face-to-face contact.

5) There was no consensus among respondents regarding what channels, if such existed, were used when decisions were made regarding critical problems or crises.

6) Over 65% of the respondents (21 of 32) expressed the belief that there was no institutional information link. Among the third that felt there was such a link (N=11), there was no consensus or pattern regarding what comprised the link.

7) Less than 17% (5 of 30) believed there was some feedback system to handle unexpected program snags. When those five were asked to describe the system(s), there was no consensus or pattern in the answers.

8) None of the respondents agreed that parents obtained the first informational brochure in sufficient time to gain parental cooperation and minimize confusion.

9) Twenty-eight of the thirty-two respondents said they were aware of internal communication problems between new and continuing alternative school staffs. Almost 80% (22 of 28) said these problems were of greater degree than those between new and continuing staff in the regular program.

10) The project's information specialist produced the informational brochure and other media releases. Other types of assignments were given to this person, but there was no request for that person's experience to be used for any analysis or improvement of the project's communication lines.

Findings from this section have led the researcher to make the judgment that the requirements of step 6a of the change process model were not satisfied. Communication channels may have existed or been newly established by the District or Project leadership; if so, they appear to have been ineffective. The data indicate that a large majority of the significant project participants were unaware of such channels or did not believe they existed; most front-line implementers felt that there were no channels through which to obtain information, resolve problems, or give feedback.

Step 6b: Reducing Staff Stress and Anxiety

A second area that received much direct and implied emphasis in the literature dealt with staff stress and anxiety and what leadership should do to minimize this. A series of interview items were developed to probe this area from different directions.

Item number 7 presented this statement:

> In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable regarding the need/process for reducing anxiety among their peers, subordinates, or fellow employees.

Only one person out of the thirty-one who expressed opinions indicated agreement with that statement. Nineteen of the thirty who disagreed said they "Disagreed Strongly". Three of the thirty said directors obtained such directions from someone else. Twenty-five out of twenty-six respondents agreed that site directors should have received such help. The project director was the most frequently mentioned source (N=20) for help, with the superintendent the next most frequent (N=8).

To determine if this type of change posed a threat as predicted in literature sources, the researcher inserted this statement as item number 10:

> In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt that their seniority and/or professional future was threatened.

Of the thirty-two replies, twenty-seven expressed agreement; fifteen of these were stated as "Agree Strongly".

Interview item number 11 was a follow-up to confirm or contradict the opinions expressed earlier in response to number 7. Number 11 said:

> In your opinion, there was a need for reducing anxiety among the peers, subordinates, or fellow employees of site directors.

Thirty-one of the thirty-two answers expressed agreement with the statement, nineteen of them being "Agree Strongly". This confirmed the earlier responses. Then, twenty-seven said they were aware of a process to reduce anxiety in such groups; "Experience" was most often mentioned (N=24) as the source of this awareness, "Academic Training" was next most often (N=10), and "Personal Reading" was mentioned (N=7).

During July and August, 1971, the directors of the alternatives found out that many of their teaching positions had to be filled by picking from among those who had been displaced from regular program positions, because students were programmed into alternative schools or because all or part of their regular school site was now allocated to one of the new alternatives. A great deal of protest arose from these new schools, joined shortly by protests from the many existing alternatives who were told that they also had to select from these unassigned staff to fill vacancies which had developed within their faculties. During the interviews there were numerous references to the series of events that took place and many indications that alternative school leaders had been angered at having had to select staff from among individuals they felt had indicated little or no prior

commitment to the philosophy of alternative education. The alternative schools thus had had different staffing patterns and commitments that fall than they apparently originally expected, according to the voluntary comments of directors while responding to interview items devoted to training.

As was noted earlier in the previous section, there had been no analysis made of alternative school requirements in terms of training. In a discussion with the Associate Director for Training, this lack of an analysis had been confirmed as had other conditions.[25] Although the Associate Director for Training had started the development of plans for in-service training shortly after the start of school, such planning was limited to the training of teachers. At no time during the months between the project's approval and the start of school was there any evidence of planning for, or intent to provide, any type of training for the leaders of the alternative schools or the central staff of the project in the techniques or dynamics of managing the change process. This condition continued throughout the remainder of the first year, even though circumstances created ample rationale for leadership training during the last months of the first year of implementation. This came about because, while the alternative schools that had been placed in the original proposal were in fact operative as planned for that

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[25]Interview with Mr. Astor Mizuhara, May 6, 1975.

first year, the pattern was not as positive when reviewing the history of the leaders of these schools. The degree of dissention and bitterness about staff selection was blamed for three changes in leaders prior to the September 10, 1971, opening--according to interview comments. A tragic accident took the life of another alternative school leader prior to the opening of school. Then, before the close of the first year of the project, four more heads of alternative schools asked to be withdrawn by the start of the next year. (Three of these four heads were available and were interviewed during May, 1975.) This was almost a fifty percent turnover and presented strong justification for providing training. However, no training for new or continuing leaders was given.

Three items were included in the interview set that related specifically to training; items 14, 15, and 39. Item 14 had three parts, the first statement being:

> In your opinion, the alternative or experimental schools demanded a really new teacher role.

This became, in effect, a "throw-away" item since this study focused on directors rather than teachers at alternative schools. In any case, twenty-three agreed--eight disagreed. The next statement dealt with site directors, saying:

> In your opinion, the alternative or experimental schools demanded a really new director role.

In this instance, twenty-seven agreed--eighteen "strongly". For those who agreed, the third part of the item stated:

> Enough time, money and other resources were put into training teachers and directors for their new roles.

All twenty-seven disagreed with that, nineteen "strongly".

To continue this line of inquiry, item 15 said:

> To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971.

Twenty-four respondents disagreed. Three said they did not know if he had or not. Five agreed with the statement. A second part of the item was presented to those who did not agree with the first statement: "He emphasized it that fall, after the project started." Twenty-two of the twenty-four disagreed. Disagreement by 5:1 and 11:1, respectively.

A different approach to probe the status of training came almost at the end of the interview, when item 39 asked this question:

> Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?

There were ten responses that designated individuals; nine said the project director did this reporting; the tenth said it was done by the project director and the site directors. However, attention is directed to those responses that did not make any designation; seven said they did not know, and fifteen said there was nothing to report, because "There was no training going on."

The general picture, obtained from these items which related to training, is one of little training planned and implemented for anyone prior to and during the first year of the project and no training whatever for site directors during that time.

Another aspect of staff stress that was presented in

the literature related to the need for structure to resolve problems. For optimum benefit, information about structures for this purpose was to be known by the change participants. Three interview items were developed to probe this; items 28, 29, and 30.

Item 28 asked this question:

> In your opinion, if there were crises, were most of the people involved happy with the compromises reached in resolving these crises?

Five answered "Yes"; twenty-four said "No"; one felt that reactions were "Too mixed to tell", and one said "None were resolved".

Item 29 was the key question, asking: "What was the structure for reaching compromises?" Fifteen site directors and ten non-site staff said, "There was none." Of the six other responses, there was no pattern with one of each of the following: "Director's meeting", "I think there was...", "Reaching consensus", "Many varieties", "Bargaining with the superintendent", and "The Project Director as arbitrator."

Item 30 was direct follow-up to the preceding item, asking:

> Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises?

Nineteen stated that they knew, while only twelve said "No". However, when those nineteen were asked who was involved, there was no consensus to any appreciable degree. Four said "The project director and site directors" were the group; four others said "The superintendent and his cabinet";

seven said the group's composition varied dependent on the content of the crisis; two felt the group was made up of the central project staff; one said "The project director and the assistant superintendent", and one said it was "The project director and a few of his old cronies." When size of group was the inquiry, there were thirteen responses; ten said the size of the group varied, and three just said that the group's size was small.

The general picture presented here was one of little or no structure existing for the purpose of working through and resolving critical problems or crises. At least, this is the opinion pattern shown by the responses of those whose group anxieties were to be minimized by having such problem resolution structure and then having the group know about the structure during the stress of change.

Another point noted from the literature had been participant uncertainty about how well they were "delivering" the new tasks brought by the change. To check on this, item 16 asked: "Who told the directors and teachers if they were doing a good job?" Thirteen gave "No-one" as their answer, and two others said that they did not know who did this. The other seventeen respondents gave a variety of sources for such support, some mentioning more than one. Seven said "Project director"; five mentioned parents and community; five said students did this; three mentioned the "Central support staff", and one said this assurance came from the site directors.

A front page article on June 18, 1971, was devoted to the extent of anxiety felt by district staff members about their unassigned status, at least partially brought about by the Experimental Schools Project.[26] An administration spokesman was quoted as saying the number of unassigned staff was "at least" one hundred. The uncertainty of being in this "reserve pool" of staff had caused one teacher to refer facetiously to their status as being in "the cesspool" to await an as-yet-unknown assignment. The researcher heard that term, "cesspool", used by a number of individuals that summer of 1971. To check on this level of anxiety, and its treatment within the project, item number 35 asked:

> Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program?

About a third (N=11) of the respondents answered "Yes", and then went on to say the people felt unwanted and anxious. Although this very limited and indirect probing can be given little real weight, the researcher was seeking comments in the responses indicating what might have been planned or done to compensate for such feelings or give reassurances. Five respondents did volunteer comments; the thrust of these being that the subject of anxiety or need for assurance had not come up during any of the meetings they attended.

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[26]Robert Kroll, "Plight of Veteran Teachers," Berkeley Daily Gazette, June 18, 1971, p. 1, headline item.

To summarize some major findings of this section:

1) Only one respondent (3%) felt that site directors had received directions from the person to whom they were accountable regarding the need or process for reducing anxiety among their peers, subordinates, or fellow employees. Three others believed they had gotten such directions from someone else. However, twenty-five out of twenty-six agreed that site directors should have received such help.

2) Twenty-seven of thirty-two (83%) acknowledged that there were fellow employees who, during the Experimental Schools development and initial implementation period, felt their seniority and/or professional future was threatened.

3) Thirty-one of thirty-two respondents (97%) agreed there was a need for reducing anxiety among the peers, subordinates, or fellow employees of site directors.

4) Plans to train teachers for greater effectiveness started after the first project year began, but there was no intent or plan to train site administrators or others of the leadership staff in the techniques or dynamics of managing the change process.

5) Twenty-three of thirty-one (74%) agreed that experimental schools demanded a really new teacher role; twenty-seven of thirty-one (87%) agreed those schools demanded a really new director role. However, twenty-seven (87%) did not believe enough time, money, and other resources had been put into training either category for their new roles. Only five (16%) believed the superintendent had emphasized this

"New role" aspect of the project and related training needs during the summer of 1971; two of twenty-four (8%) felt that he had emphasized it that fall after the project began. Almost half (fifteen of thirty-two) said there was no report of training status to give to the superintendent because there was no training going on.

6) Only five respondents out of thirty-one (16%) felt that most people involved in crises were happy with the compromises that were reached in resolving them. In stating what problem resolving structure existed, twenty-five of thirty-one (80%) said that there was no structure for this, and the other six each gave a different answer. When asked who or what size group was involved in making these "inner decisions", the nineteen who said they knew what group was involved displayed no consensus in their answers.

7) There was no appreciable consensus among the answers to the question of who told directors and teachers if they were going a good job.

The above findings led the researcher to make the judgment that the requirements of step 6b of the change process model were not satisfied.

Step 7: Evaluation

As noted earlier, objectives suitable for evaluation were not developed, even as a draft document, until the end of the first project year. This had been confirmed in one of several unstructured discussions with the Coordinator of

Research, a member of the Level I evaluation team.[27] When that draft of objectives was reviewed, the same condition in the "objectives" was found by the researcher as had been the case in the original proposal's statements of intent; that is, the objectives neither met this study's definition of objectives nor did they serve the needs for evaluation's purposes.[28]

The last item in the interview guide was devoted to the area of evaluation. Item number 41 was segmented into many parts, the first being this question:

> Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

In response to this open-ended question, sixteen directors and eleven non-site staff (84%) said "None"; four (13%) said they didn't know, and one (3%) said "This wasn't carried out too well." When asked, "Did the superintendent want more than what was provided?", eleven said they did not know; nine said "No"; four said he had never expressed any need to the best of their knowledge, and four of twenty-eight said "Yes". The remainder of that item's responses can be seen in Exhibit N in the Appendix; the diversity of each part's answers suggest no pattern and are too limited in

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[27]Interview with Mr. Casey Jones, Research Coordinator, September 25, 1973.

[28]Pugh, op. cit.

quantity to receive attention here.

Confirmation of these evaluation problems came from an entirely independent source when, upon concluding the participant interviews, the researcher was given a document which had previously been unavailable. The document was a compilation of six separate reports by an external review team. Dr. Norman J. Boyan, Professor of Education and Dean of the Graduate School of Education at the University of California at Santa Barbara, was one of these evaluators. Previously, he had directed the United States Office of Education's Bureau of Research and its Division of Educational Laboratories. His report is the only one of the six which need be used in this context; he says:

> A second source of "troubles" resides in the difficulties associated with securing from the directors of the various Berkeley alternatives clear statements of objectives which lend themselves to ready assessment and evaluation.[29]

This corroborated the researcher's findings, confirming that the lack of objectives necessary to the evaluation purpose continued even beyond the second year of the project.

The findings of the researcher, corroborated by an independent "outside" evaluator, have led to the judgment that the requirements of step 7 of the change process model were not satisfied.

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[29]Norman J. Boyan, "Project Status Report, Berkeley Experimental Schools Program," (to N.T. Gavin, Project Review Director, Experimental Schools Program, National Institute of Education, Washington, D.C.), December 12, 1973, p. 6.

An additional, three-part item had been developed and inserted into the interviewing instrument to determine participant opinion about how the change process had been handled during implementation of the project. First, item number 12a presented this statement:

> In your opinion, in regard to the effectiveness of the change process in implementing the Experimental Schools Project: there were many problems.

All thirty-two respondents agreed with that statement, with twenty-seven saying they "Agreed Strongly".

Item 12b went on with a supplement to the original statement, saying: "There were more problems than you feel there should have been." Twenty-one of the respondents expressed strong agreement; seven more said they agreed; one said "I don't know", and only three disagreed with the statement. This was a pattern of over 90% saying there were more problems than they felt there should have been.

Item 12c gave yet another supplement to the original statement, showing a different focus on the problem area by presenting this thought: "There were fewer problems than you expected there to be." Only two persons agreed with that statement; twelve said they "Disagreed", and seventeen more said they "Disagreed Strongly". This was a pattern of less than 7% saying there were fewer problems than they had expected in the implementation of the project.

Yet another interview item had been developed and inserted in an attempt to determine participant opinion about the demands made by change. This item, number 13,

also presented a series of statements. The first, in 13a, said: "In your opinion, special stresses are placed on organizations by change." All thirty-two respondents agreed with that statement, twenty-four of them strongly so.

Item 13b said: "Change demands more of the organization." Again, all thirty-two respondents agreed with the statement, twenty-eight saying they "Agreed Strongly".

Item 13c asked about the individual's stress with: "Change demands more of the individual." The thirty-two respondents continued the pattern, all being in agreement with the statement, twenty-eight strongly so.

Before going on to the next chapter, some comment should be made regarding those interview items which were not used. These were items 21, 22, 36, and 38. After consolidation of all responses into the single tally set (Exhibit N in Appendix), and then relating appropriate items to each of the steps of the change process model, it appeared that the findings presented in these four items were not sufficiently apt or relevant to support or deny other findings. Exhibit N in the Appendix shows the consolidated tally of responses for all interview items; a brief review of the four items noted above should confirm in the reader's mind that exclusion was warranted.

SUMMARY

The findings of the study indicate that the requirements and recommended procedures of several of the steps of the change process model were not satisfied. These steps were: step 3a, "Goals"; step 3b, "Objectives"; the preliminary phase of step 6, "Implementation"; step 6a, "Communications Network"; step 6b, "Reducing Staff Stress and Anxiety"; and step 7, "Evaluation". In addition, the requirements of step 2, "Current Needs", were judged to have been only partially satisfied.

Chapter 5 will build on the findings of this chapter in making an analysis of what conclusions can be drawn as a result of the data in answering the four major questions of the study. The chapter will also submit some value judgments derived from primary data and from some unsolicited comment and other data from secondary sources. Finally, the chapter will present a series of recommendations developed as a result of the study's findings.

Chapter 5

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

SUMMARY OF DATA

The problem

The problem of this study has been to select and describe the sequence of steps that comprise a model of a change process and to compare that sequence with the steps followed by the superintendent of the Berkeley Unified School District during the development and initial year of implementation of the Experimental Schools Project. The final phase of the study is to develop some recommendations believed appropriate to the findings of that comparison.

The purpose

As presented in the review of literature in chapter 2, there is an urgent need to create new leadership styles and models of organizational planning for change in education and other fields. A major weakness with most organizational planning is the lack of understanding shown by leaders in the problems of implementation. The purpose in making this study is to contribute to the better understanding of the problems of the implementation of change.

The model

The steps of the change process that was selected as the model for the comparison purposes of this study are as follows:

1. Define problem
2. Current needs
3. Mission statement:
   a. Goals
   b. Objectives
4. Alternative solutions
5. Selection of solution to implement - priorities
6. Implementation:
   a. Communication network
   b. Reducing staff stress and anxiety
7. Evaluation[1]

These steps proved very useful for organizing the study within the methodology of the case study approach.

The findings

On the basis of primary and secondary source data presented in chapter 4, the requirements and recommended procedures of some steps of the change process model were considered satisfied. Those satisfied were the following: step 1, "Define problem"; the "Mission statement" portion of step 3; step 4, "Alternative solutions"; and step 5, the "Selection of solution to implement - priorities". Step 2 requirements, "Current needs", were judged to have been only partially satisfied.

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[1]A modification of the change process model from: A. Neil Galluzzo, "A School District Plans for Planning," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), p. 40.

In the opinion of the researcher, the findings shown supported the judgments that the requirements and procedures of several of the steps were not satisfied. These steps were: step 3a, "Goals"; step 3b, "Objectives"; the preliminary phase of step 6, "Implementation"; step 6a, "Communications network"; step 6b, "Reducing staff stress and anxiety"; and step 7, "Evaluation".

Eventually value judgments will be made, sometime in the future, relative to the degree of success or failure of various components of the Experimental Schools Project. However, the first concern of this study is the analysis of the management of a major change by a school district's leadership. One phase of this is to determine whether or not the steps in a change process model had been followed by the superintendent of the Berkeley Unified School District during the various stages of developing and implementing the Experimental Schools project. The findings reported in chapter 4 indicate that the major process steps were either not followed or were not followed with enough visible structure or documentation to develop sufficient awareness of them in a large majority of the significant participants. That is, not sufficient to the degree that those actions would be recalled and then be reflected in the opinions of those participants--the primary data of this study.

An over-all viewpoint was sought from the interviewed participants which would express their judgment of how effectively this change had been managed. The response to

item 12b supplies one type of judgment about how well the implementation of the project had been managed. Over 90% of the significant participants in this project stated that there were more problems than there should have been during the process of implementation--in their opinion. This is considered a negative evaluation of the effectiveness with which that change was managed. Another side of that same coin is the finding, per item 12c, that less than 7% of the significant participants felt that there were fewer problems than they had expected. This corroborates the finding that, in the minds of these participants, there has been a negative evaluation made in judging the handling of the project change process.

Item 13 has determined that all participants who were interviewed felt that special stresses are placed on organizations by change and that change demands more of the organization and of the individual. It is unfortunate that this same group could not have been asked these questions prior to their involvement with the Experimental Schools Project. However, if they were now unanimous in agreeing that change made these increased stresses and demands after their experience, it would seem reasonable to suppose that district leadership would have similar opinions. Even more important, it would seem reasonable to expect leadership to have had similar opinions about the stresses of change by exposure to prior change experiences, or training in the management of change.

CONCLUSIONS

Another phase of this study has been the analyzing of findings in relationship to the four major questions posed in chapter 1.

The Questions

> Question 1: Did the superintendent of the Berkeley Unified School District treat the major change that was involved in the developing and implementing of the Experimental Schools Project as a special organizational problem requiring adherence to the basic principles of a selected change process model?

Primary source data provide no evidence that the superintendent treated the development and implementation of the Experimental Schools Project as a special organizational problem requiring adherence to the basic principles of the selected change process model. To the contrary, the data support the conclusion that there was no adherence to a majority of the basic principles. These principles were identified earlier as steps 3a, 3b, the preliminary phase of step 6, and steps 6a, 6b, and 7. Further, none of the data from secondary sources which were researched provide any evidence of efforts to require adherence to the above basic principles of the selected change process model.

> Question 2: Did the superintendent of the Berkeley Unified School District demonstrate actions which manifested the belief that having understanding and agreement on common goals among its change implementers was required of an organization attempting the major change of developing and implementing the District's Experimental Schools Project?

The project proposal submitted to Washington, D.C.

states several goals. However, primary source data do not provide evidence that there had been actions taken which manifested the belief that having understanding and agreement on common goals among its change implementers was required of this organization attempting this major change. To the contrary, primary source data indicate confusion and disagreement about the project's goals. Some of this comes in the responses to items 2-5, as covered in chapter 4. However, additional indications are found in the responses to items 23-26. For example, only 34% of the respondents express the belief that the project's goals were those written up as district goals in the "Green Book". A higher percentage (44%) stated other, totally different, goals. Also, when over two-thirds of the respondents indicate that the goals of their school or office varied from the project's in terms of helping effect the change effort's goals, this is considered evidence of considerable disagreement. It is important to note here that no secondary source data have been found indicating that actions were taken to gain understanding and agreement on common goals prior to the initiation of the major change. There were some meetings held during the last half of the first year. The Associate Director for Evaluation called school directors together to develop objectives that would relate to the written goals and allow evaluation to take place. As of June 30, 1972, those efforts had been unsuccessful. This leads to the conclusion that actions to obtain understanding and

agreement on common goals among the project's implementers were not treated as requirements by the superintendent in any way for which documentation can be found. In the opinion of the researcher, if such efforts were made by the superintendent with this thrust in mind, they made so little impact on the significant participants who were interviewed that those participants appear to have no memory of such actions or consensus on the project's goals.

> Question 3: Did the superintendent of the district take actions to reduce those staff emotional stresses that increase confusion and anxiety during a period of major change?

The primary source data do not provide evidence that the superintendent took such actions, or that he directed his subordinates to take such actions. These would have included efforts alerting project staff, particularly directors of alternative schools, about the need and some processes for reducing staff anxiety, informing staff of "new role" expectations, and directing that there be a known structure for resolving problems. The responses obtained from the participants indicate that, by a strong majority, they felt such actions had not been taken. These are tallied in chapter 4 under step 6b. The tallies show the responses to items 7, 11, 14, and 15 dealing with staff anxiety and role expectations. They also include items 28, 29, and 30 which confirm participant opinions about the lack of action to establish a compromise structure or a problem resolution structure. It must also be reported that

no evidence of such actions being taken were found in any secondary source data available to the researcher.

> Question 4: Did the superintendent of the Berkeley Unified School District act on the principles that additional communication and training were needed by project implementers prior to the start of the District's Experimental Schools Project?

The primary source data provide no evidence that the superintendent took such actions, or that he directed his subordinates to take such actions. These actions would have included efforts which initiated an expanded, two-way communications network, expressed the intent or involved staff in plans for training directors in new role demands, or would have directed that there be plans for training the teachers in new techniques prior to facing these new demands. Strong majority opinions confirming the absence of such actions in the area of communications are tallied under step 6a in chapter 4. The lack of training, or any plans or intent to train those who were project leaders, is noted in step 6b of chapter 4. The lack, or the late timing, of the training programs for other staff during the initial year of project implementation is confirmed in responses which are tallied under the training portion of step 6b, as shown in chapter 4. In conclusion, there is no secondary source evidence of such actions being taken, according to the data reviewed by the researcher.

Value Judgments

In addition to the data presented in chapter 4, a

mass of unsolicited comment and supplemental documentation remains unused by the researcher. When added to the data already reported, an over-all picture has developed in the researcher's mind which leads to these value judgments:

1. The researcher is left with the strong feeling that a great many participants now feel that much potential value has been lost from the Experimental Schools Project. Further, that the loss was due to an apparent failure to deal adequately with those process steps in the change process model whose requirements were not satisfied.

2. Prior district experience with alternative schools had shown that tremendous demands would be made on directors and staffs of alternatives. The scope of the Experimental Schools Project suggested that similar demands would be made. These conditions justified recruitment of an exceptionally well qualified staff. The "hiring freeze", until regular staff were placed into experimental school vacancies, contradicted the need and desire of directors to recruit such staff. The circumstances of a "hiring freeze" created conditions making the planning and implementation of teacher training even more urgent. The researcher feels the resulting stress and confusion were compounded by lack of training for leadership staff at the central project office and project school levels. This tends to confirm Rubin's material in step 6b of chapter 3 which says that a very important aspect of implementation is the anticipation of training needs and providing such training prior to need.

Rubin presents this as a leadership responsibility.

3. There is a lack of evidence to demonstrate the district's willingness to learn from the experiences of those already on the district's staff, who had had specialized training in governance processes or who had had one or more years of pre-project experience in the evolution and operation of some of the original alternative schools. Many of those interviewed indicated knowledge of processes which could have reduced some of the problems that are reported. This would appear to support the findings reported in the writings of Whyte and of Thompson, as noted in chapter 2.

4. It seems clear that planning for involvement in any extensive project requires the leadership to make some provision for adequate "lead-time" for input on all of the pre-initiation aspects of staff and community needs. This includes allowance of time for initial input about project concepts, role clarification, communication expansion, the analysis and preparation to fill training needs, and calling for a solid evaluation design with valid testing instruments to check on the achievement of objectives that are measurable, relate to goals, and are consensus items in the minds of the participants. Opinions voiced by most of those who were interviewed have led to the researcher's judgment that there had not been provision of adequate time for the above.

5. One major flaw in the program's process may be charged to the United States Office of Education, rather than to the school district. This was the forced development

of the original proposals on a crash basis due to an early deadline for applications. It would seem an impossibility to take into consideration all pertinent factors and to produce a sound education proposal for a large scale project of experimental schools in the time allowed. However, this would not appear to excuse the district from responsibility for rushing the proposal through without adequate preparation. Such preparation could have included the development of plans for training central project staff and directors of alternative schools in a variety of group process skills, problem solving techniques, conflict resolution skills, and other types of governance processes. Apparently this could have been provided by individuals already on the staff.

6. The requirements of evaluation--a realistic design and the pre-requisite consensus on goals and objectives--are difficult to achieve in the absence of a mandate that this must be done if participation is desired. Such mandate must come from the highest authority in the district or have obvious support from that authority. According to unsolicited comment from many of those interviewed, this was not done in this Berkeley project nor is there any known and reported instance of a reprimand or penalty for failure to cooperate in this type of effort. In the researcher's opinion, the resulting lack of common direction and lack of a frame of reference--as well as the lack of evaluation results--confirm the research findings of Thompson and of Alexis and Wilson as reported in chapter 2. Although some

significant gains may be made as the result of the Experimental Schools Project, the results will be a problem to document. The Berkeley Unified School District will have considerable difficulty showing what the results are or how they came about, because of the initial lack of common goals and objectives and the failure to establish consensus on an evaluation design.

RECOMMENDATIONS

Berkeley's Experimental Schools Project is now in its final year; as of June 30, 1976, it will be phased out. The district has already been involved in the retrenchment of some project components and the "phasing-in" plans of others. There is little that can be done at this late stage which will significantly alter the outcome of the project. So, the following recommendations are presented with a dual thrust: (1) they are intended for reference when future proposals are being considered, and (2) some of the recommendations have implications for training programs for educational leaders.

1. Prior to need, school districts should develop guidelines which provide for the implementation or diffusion of any extensive change in organizational structure or in content of programs. These guidelines should include reference to all of the "pre-implementation" aspects, noted in the literature as being vital to the preliminary phase of accomplishing change in school systems. For example, the

guidelines could include a check-list of tasks to be assigned, resources to be checked for, training needs to be filled, and job descriptions of roles judged basic to successful change.

2. Once it is completed, the recommended "Guidelines for Implementing Change" should receive periodic review and updating by the district's leadership and not be treated as a static final product. Updating should include changes in available personnel or material resources. For example, records should be kept of any training obtained by staff members in the areas of group process skills, problem solving techniques, and conflict resolution skills.

3. Training programs for educational leaders should be analyzed to verify that they give extensive consideration to the planning aspect of managing change. Findings of this study indicate that educational leaders might profit from such training and thus increase the probabilities of success in managing educational change.

4. The educational leader should assume that staff members have not already acquired knowledge about the management of a process of change. This study presents a change process model which includes major steps noted in current literature on educational change. Findings of this study suggest that these steps, or others selected for the same purpose, must be made known to those charged with the responsibility for implementing change. Also, this type of information should be provided in writing as well as by

word-of-mouth. The information should be the major focus in a variety of approaches, so that staff will grasp the purpose and the importance attached to each step.

5. The educational leader should demonstrate active awareness of the anxiety and insecurity generated by change. The superintendent should take action to inform appropriate staff about techniques for reducing anxiety and insecurity. Further, the superintendent should insist on the expansion and maintenance of an effective two-way communication system for staff and community. There should be periodic checking to insure the continued effectiveness of these aspects of implementation.

6. The superintendent should convey his support for evaluation of the degree to which the change was successful and how well the change process was managed. The findings of this study suggest that in addition to spoken indications of support for evaluation, the leader should mandate the development of measurable objectives tied directly to the purpose of accomplishing the change effort's goals.

7. Training programs for educational leaders should be analyzed to verify that they give extensive consideration to effective processes of change. Findings of this study indicate that educational leaders might profit from such training and thus increase the probabilities of success in managing educational change.

8. Federal funding agencies should assume greater responsibility for providing assistance to local education

agencies involved in a potential change effort. This could include: (1) providing information reflecting the most current knowledge about how to manage change effectively, (2) providing information about the locations where training can be obtained in the specific techniques required by the contemplated change or in the management of the change process, and (3) establishing more realistic deadlines for potential participants so that involvement can proceed in an orderly fashion rather than on a crash basis.

9. Further studies should be made related to educational change which will contribute a body of knowledge and principles to a theory of educational change.

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APPENDIX A

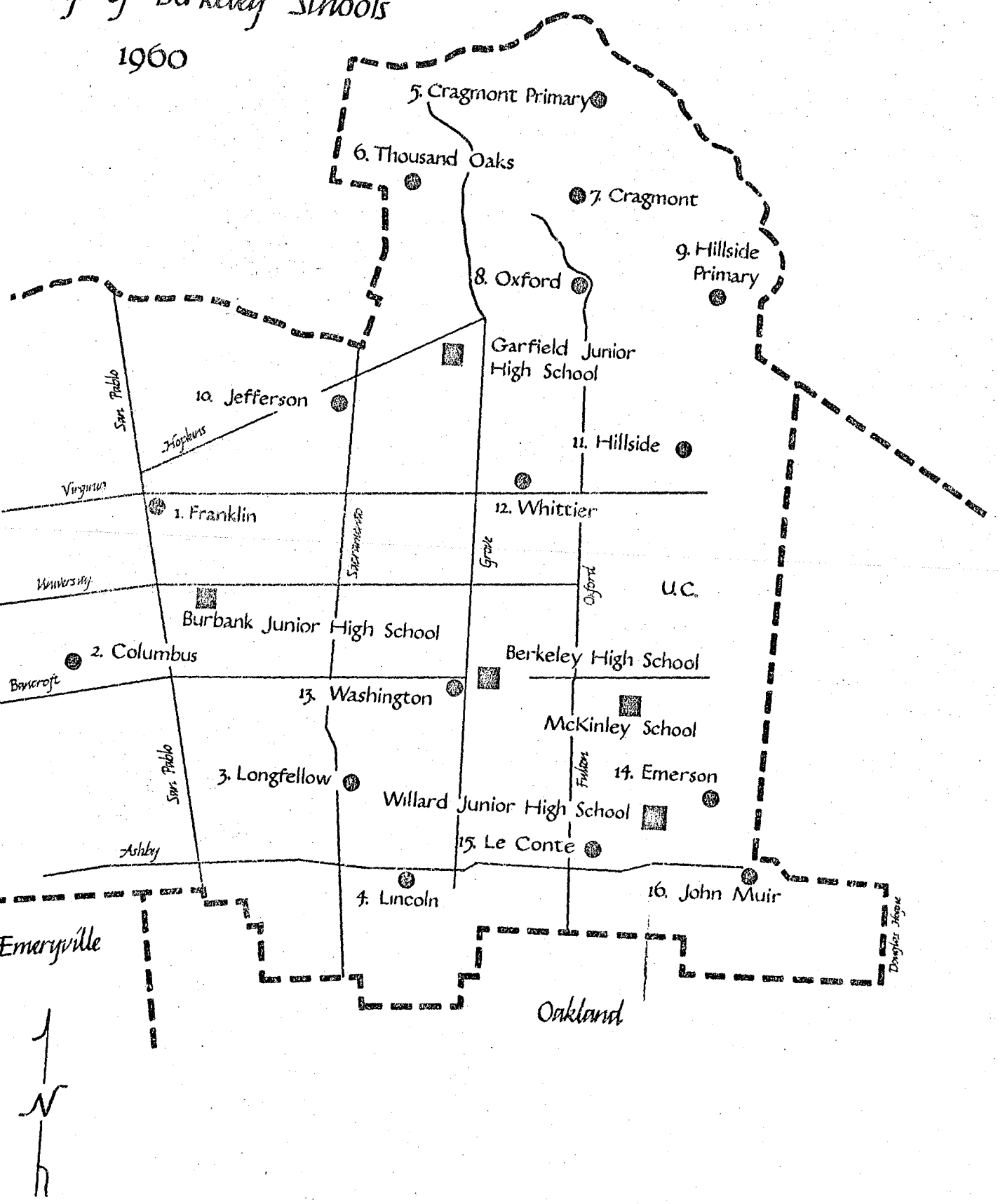
MAP OF BERKELEY SCHOOLS - 1960

PRE-DESEGREGATION LOCATIONS

Source: Carol Sibley, Never A Dull Moment (Berkeley, Ca.: Scientific Analysis Corporation, 1972), p. 29.

Map of Berkeley Schools

1960



APPENDIX B

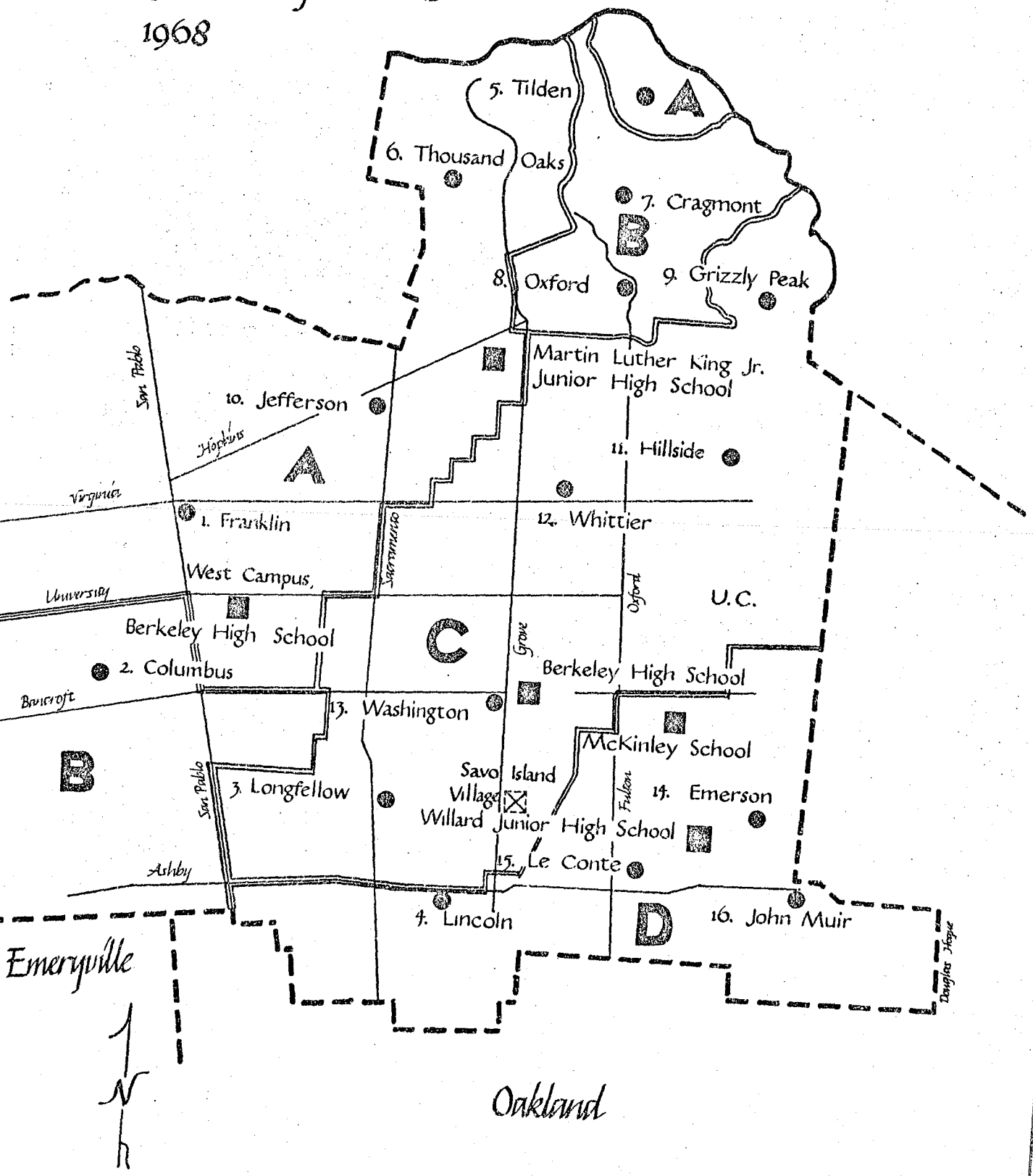
MAP OF BERKELEY SCHOOLS - 1968

POST-DESEGREGATION LOCATIONS

Source: Carol Sibley, Never A Dull Moment (Berkeley, Ca.: Scientific Analysis Corporation, 1972), p. 93.

Map of Berkeley Schools

1968

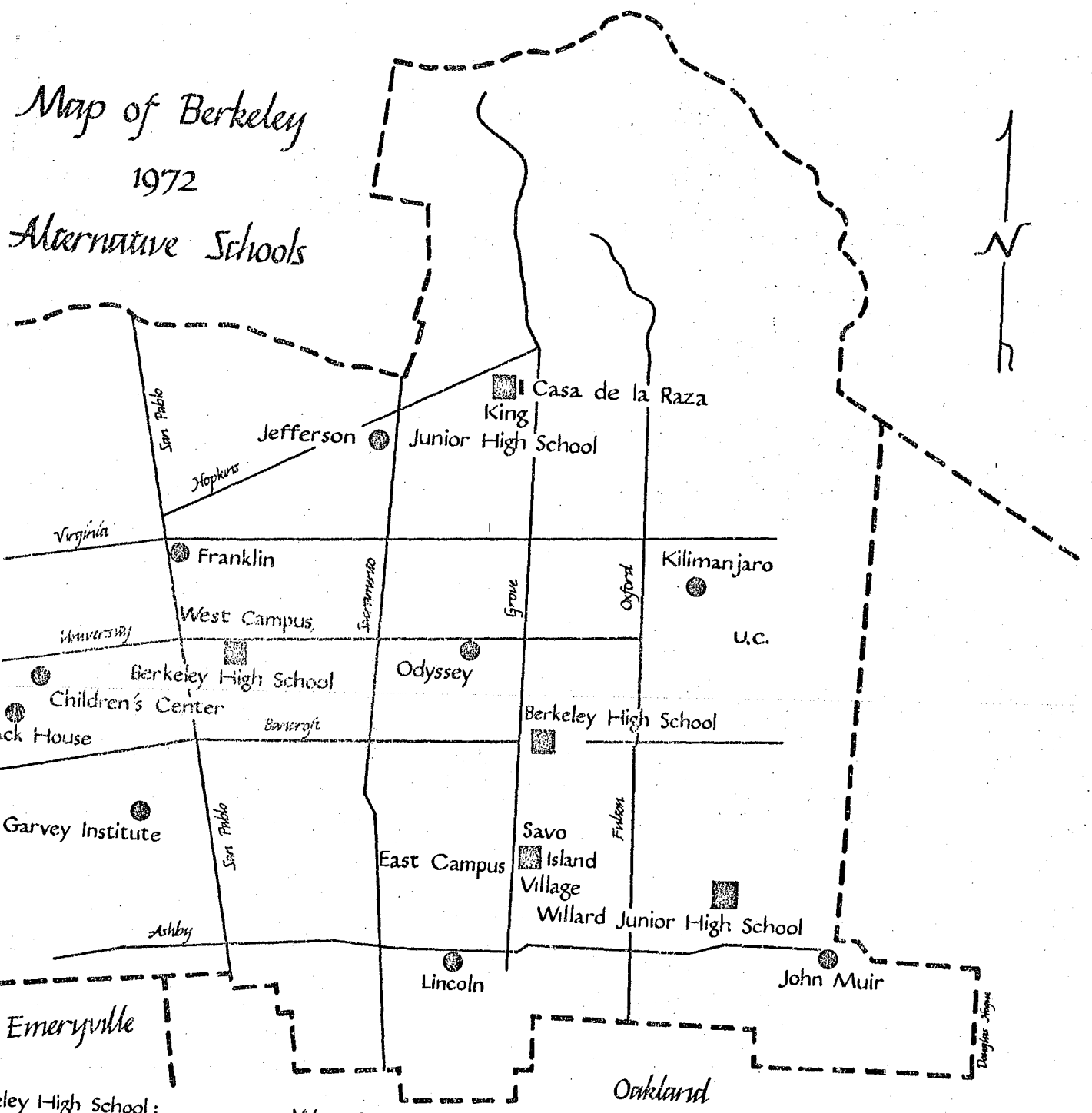


APPENDIX C

MAP OF BERKELEY - 1972

ALTERNATIVE SCHOOLS

Source: Carol Sibley, Never A Dull Moment (Berkeley, Ca.: Scientific Analysis Corporation, 1972), p. 121.



eley High School:
odel A
n Target
llege Prep
hool of the Arts
nesis
gora

West Campus:
West Campus Alternative 9a
West Campus Alternative 9b
Willard: Willard Alternative
King: King Alternative Relevent Education

Jefferson:
Tri Partite
Franklin:
Franklin Alternative
Lincoln:
Environmental Studies
John Muir:
John Muir Child Development

APPENDIX D

FEDERAL INVITATION LETTER AND GUIDELINES

DEPARTMENT OF HEALTH EDUCATION AND WELFARE

Office of Education
Washington, D.C. 20202

December 28, 1970

TO : Superintendent of Schools
State Superintendent of Public Instruction

FROM : Robert B. Binswanger, Director
Experimental Schools Program

SUBJECT: Basic Program Information

We are pleased to announce a new initiative of the Office of Education: Experimental Schools. Enclosed is the basic program information which describes the first phase of the program for Fiscal Year 1972 as well as procedures for application. We invite your attention to this information and acknowledge the limited time available to you in order to meet the deadline for receipt of a letter of interest by January 30, 1971.

Enclosure

(date stamped)

JAN 29 1971

PROJECT PLANNING
AND DEVELOPMENT

OFFICE OF EDUCATION
Experimental Schools

Basic Program Information

Experimental Schools

Since 1945, research projects, demonstrations and various kinds of experimentation have generated a wide variety of products, practices, and ideas which hold promise for the improvement of American education. Most of these "promising practices" offer improvement in a small segment or component of the school program. Such efforts to change education by innovation have had limited effect on the total learning environment because each reform represents a relatively isolated change in a particular educational system. Dissatisfied with the results of piecemeal or individual component changes, educators have sought the opportunity to address the need for total change by placing a number of these promising practices have been developed separately, a great deal of work remains to be done in terms of adapting the different components to a comprehensive design.

The first phase of the new Experimental Schools program of the Office of Education is designed to test and demonstrate the relative efficacy of combinations of promising practice. By supporting a limited number of large scale experiments of comprehensive programs with a major

focus on the documentation and evaluation of the projects, experimental schools will serve as a bridge from research, demonstration, and experimentation to actual school practice.

Fiscal Year 1972 - Experimental Schools

The Experimental Schools program represents a new initiative that invites creativity and encourages innovation in the development of a total project. It will complement rather than duplicate programs presently available for systems, agencies, or organizations seeking comprehensive educational reform. Each Experimental School project will be organized around a central theme or educational concept that reflects change from what exists at present to what education ought to be in terms of the needs and aspirations of the learners.

The Experimental Schools program in fiscal year 1972 will be of two types:

(1) Operational projects, with a major evaluation thrust, based upon a central theme for educational reform that include a multiple use of promising practices and the products of research in a comprehensive K-12 framework.

(2) Developmental projects with a major evaluative thrust, based upon a central theme for educational reform that include comprehensive, creative designs to reshape, reform, and redefine current school structures, practices,

and performance. Support in fiscal year 1972 will be limited to planning. Detailed information regarding developmental projects will not be available until March 1971.

Selection Criteria

The following criteria will be employed in the selection of potential sites for Experimental Schools projects to be operated in fiscal year 1972:

(1) Demonstrated experience with educational innovations on a large scale.

(2) Staff capacity and competency to manage comprehensive experimentation.

(3) Development of a plan for broad participation in the design, implementation and governance of a project.

(4) Identification of the targeted population for a potential project.

(5) Extent to which design fulfills objectives of the Experimental Schools program, including:

...a primary target population of low-income children

...a student population approximately 2,000 to 5,000

...a longitudinal K-12 design

...a comprehensive approach to the learning environment, including, but not limited to,

curriculum development, community participation, staff development, administration, and organization.

(6) Attention to evaluation and documentation of the total project.

(7) Commitment of resources for the duration of the project.

Letters of interest should address themselves explicitly to the above criteria. In addition, applicants should define the goals they wish to accomplish by participating in this program.

The following information is provided in order to assist potential applicants in making their decision to express interest in a fiscal year 1972 operational program. During this initial planning stage, the choice of a central theme is essentially the first task. It will serve as an organizing principle for the operations of the school, determine the specific range of promising practices relevant to the proposed experimental project.

Among the criteria which might be used for selecting the relevant promising practices are the following:

(1) Consistency of the practice with the central theme.

(2) Ease of adaptability, given time and resource constraints, to the experimental school project.

(3) Importance of the practices to the purposes of the learners.

(4) Cost. The cost of operating the total program in the experimental school project must be limited by the project (school systems) operating revenue so that the program can be continued after the experiment is completed (3-5 years) by the school system without new outside resources.

Evaluation and documentation will represent a major resource allocation of the Experimental Schools program. Each Experimental School project will be responsible for the design and implementation of an evaluative system to compare the output of the project with other outputs of the particular system in terms of that system's goals and objectives. A second level of evaluation will be designed and implemented by the Office of Education in coordination and conjunction with each experimental school project in order to assess the strengths and weaknesses of the project's comprehensiveness. In addition, a single evaluative design will be developed by the Office of Education in order to insure that common instruments will be used to assess replication, transportability, and comparable data among the experimental school sites.

Letters of Interest

To be assured of consideration for operational projects, letters of interest from State and local education agencies (institutions of higher education and public or

private non-profit agencies) to participate in Experimental Schools program during fiscal year 1972 must be received in the Office of Education by January 30, 1971. From among the letters of interest, up to eight sites will be offered 60-day planning grants to assist them in preparing proposals due in the Office of Education by March 31, 1971. From these proposals, three to five sites will be selected for operational programs beginning in fiscal year 1972.

Letters of interest should be considered a formal submission by the local education agency. No letter of interest may exceed 10 pages, and no supplementary material should be sent at this time.

Letters of interest should be addressed to:

Experimental Schools
United States Office of Education
Washington, D.C. 20202

CPO 904.003

APPENDIX E

LETTER FROM DR. JAY T. BALL

BERKELEY UNIFIED SCHOOL DISTRICT
Office of Project Planning and Development

February 17, 1971

To: Principals
Other Interested Persons

From: Dr. Jay T. Ball

Subject: Experimental Schools
Meeting - Monday - February 22
Auditorium - 1414 Walnut St. - 3:30 p.m.

The U.S. Office of Education has instituted a new program entitled "Experimental Schools" for the purpose of encouraging and supporting experimental schools in K-12 educational programs across the nation.

Berkeley, one of 500 districts applying, was chosen, one of eight, to receive a planning grant to further develop its concept of alternative schools. The planning period of 60 days will allow us to complete a formal proposal to compete for an operational grant.

We are inviting you to a meeting to explain the program in more detail and request proposals from you should you have a desire to participate in this type of program. The meeting will be held in the auditorium of the Administration Building at 1414 Walnut Street, Monday, February 22 at 3:30 p.m.

You are also invited to bring one or two other people of your choosing, from your staff.

JTB:ml

APPENDIX F

PRE-PROJECT ALTERNATIVE SCHOOLS

Source: Office of Public Information, Experimental Schools in Berkeley (an informational brochure, published and distributed city-wide by the Berkeley Unified School District, Berkeley, California), September, 1971, pp. 1-21.

PRE-PROJECT ALTERNATIVE SCHOOLS

Several years ago in Berkeley, individual educators began to develop group alternatives for students who seemed frustrated by the regular educational program and structure within the school district. In the summer of 1968, two alternative efforts were begun; both of these developments were at the secondary level of the Berkeley Unified School District.

The first of these developed out of "The Summer Project", a program for high school students based on self-expression and designed by two Berkeley High School drama teachers. It was so enthusiastically received by students that it was used as a base for a mini-school and the outcome was "Community High", an alternative school which opened on the Berkeley High School main campus in February, 1969. This school-within-a-school enrolled a multi-racial student body for grades ten through twelve.

During that same time a teacher-training project called "Other Ways", funded by the Carnegie Corporation, was looking for a school district in which to locate. It was invited to join the Berkeley Unified School District, and by the spring of 1969, that project had grown into an alternative school for grades seven through twelve. This school had leadership, determined to operate away from any regular district site and as separate as possible from the "educational system" of the school district.

Within the next eighteen months, six more alternative schools were developed and began operation in the fall of 1970. Three were geared to the elementary grades; three to the secondary grades.

The "Environmental Studies Program" evolved out of a mini-school formed by five teachers at the Lincoln Intermediate School, for grades four through six, in the fall of 1969. By the fall of 1970, it had been restructered as an alternative school-within-a-school and obtained funding from the San Francisco Foundation.

In the spring of 1970, the principal of Jefferson Elementary School, kindergarten through grade three, made a decision to try for special funding to make it possible to give more choices at that school. She drafted a proposal to create three different schools within Jefferson and the project was funded by the Ford Foundation. The three components, which were offered in the fall of 1970, were the "Individualized-Personalized", the "Multi-Cultural Bilingual", and the "Traditional"; these made up the "Jefferson Three-Part Model" alternative.

The third elementary alternative was named "PTAE" (Parents and Teachers for Alternative Education), when it developed out of a summer pilot program and started at an off-site location in September, 1970. This ungraded program, for students normally in kindergarten through grade six, was an option initiated, supported, and maintained by parents. Later renamed "Kilimanjaro", parents of this

school's students continued to make all major decisions and performed the main task of supplemental teaching.

The continuation school, "East Campus", had changed its image under the concerned leadership of an aggresive young principal. By the spring of 1970 this administrator had, with the help of a few equally committed teachers, created an alternative to the traditional continuation school concept. Sale of their site to the University then forced a mid-year move to the main high school campus. Loss of their newly developed identity and atmosphere at the high school site demonstrated that the move was not working out for this alternative. By the fall of 1970, some "temporary" quarters in old Navy housing had been found some distance from the high school. The atmosphere and concentrated effort was re-established, and the alternative called "East Campus" was again functional for grades nine through twelve.

A black educator, on the original "Community High School" staff, decided that options which worked for white students did not necessarily work for black students. He organized one of that alternative's "tribes" as another option within that school. Called "Black House", it was described by its founder as having been created in specific response to the need of blacks to come together on the basis of their blackness. After one year as a "tribe", this secondary level option split off and became an independent, off-site alternative by the fall of 1970.

Another secondary level alternative, "Odyssey", grew out of a course on Contemporary Problems in Education at Willard Junior High School. A small group of teachers involved in that course wanted to create a small cluster school for the sake of more personal contact and more use of the community's resources. By September, 1970, this alternative was housed in the basement of the Lawrence Hall of Science, making extensive use of volunteers from the University and community. Originally intended for seventh and eighth grades, in one year this alternative retained it's "graduating" group and continued thereafter as an option for grades seven through nine.

Two more alternative schools came into existence prior to any discussions about the Experimental Schools Proposal. Both of these were school-within-a-school concepts at the main campus of Berkeley High School. Both were designed during the summer and fall of 1970 and had become options available by the spring semester in 1971.

One of these, "Model School A", was designed as a structured, skills-oriented school. Most of its students took subjects in the regular program of the high school, but the humanities tone of the school was set by two basic courses, The Study of Man and American Culture.

The other alternative, called "The Agora", was a multi-racial school offering its students both traditional subjects and ethnic studies. The ethnic program section combined and interrelated the study of the Chicano, Black,

and Asian cultures. The school included student initiated courses and courses taught by students.

The above review is a brief description of the alternative educational options presenting considerable diversity for students and parents to choose from, prior to the inception of the Experimental Schools Project.

APPENDIX G

NEW ALTERNATIVE SCHOOLS

Source: Office of Public Information, Experimental Schools in Berkeley (an informational brochure, published and distributed city-wide by the Berkeley Unified School District, Berkeley, California), September, 1971, pp. 21-25.

NEW ALTERNATIVE SCHOOLS

The "John Muir Child Development Center" was one of the five new alternatives for the fall of 1971. Enrolling kindergarten through grade three, it was to apply to about eighty percent of the John Muir School's capacity; the rest continued with the traditional offerings for those who wished to have that option. This alternative was based on the "open classroom" concept, with extensive use of learning centers within the classrooms and stress on individualization for the learning process.

The "Franklin Multi-Cultural" alternative school was composed of three sub-schools and a supplementary tutorial program for students, characterized as high potential and for those achieving below grade level. The three sub-schools were to be known as La Raza classes, Asian studies classes, and Multi-cultural classes containing children of all cultural groups.

"La Casa De La Raza" was the Chicano alternative. Its avowed goal was to reinforce cultural heritage, traditions, and values. It was to offer a bilingual educational experience to parents and students, with classes for adults in which students and staff would train parents in basic skills to facilitate their involvement in educational experiences with their children. This school was to be run by a parent-student-staff administrative board, and its structure was to be non-graded while enrolling students

from kindergarten through grade twelve.

Another alternative had been developed for the Berkeley High School campus. Called "On Target", this was a career oriented approach, where classroom activities were geared to focus on preparation for careers in businesses and industries related to science and technology. Stated as its purposes were the provision of first-hand experience in career activities and to relate science to the life experiences of the student. This alternative featured use of the Career Center, visits with representatives from many occupations, field trips to sites having occupations that were judged relevant to those careers being considered by those enrolled, and some "on-the-job" experience.

The last of the new alternatives scheduled to begin, in the fall of 1971, was the "West Campus Alternative" at the separate high school campus, which enrolled only ninth grade students. The major focus of this alternative was on the provision of basic skills to students, judged in need of such training before going on to the main high school. It also included provision of jobs for these students, on the school site or in the community. The two-part alternative of studies and employment was designed to give incentive, needed academic skills, and improved self-esteem.

The two alternatives scheduled for the spring, 1972, were both at Berkeley High School, to enroll grades ten through twelve. "College Prep" was organized to institute a college preparatory program for underachieving black

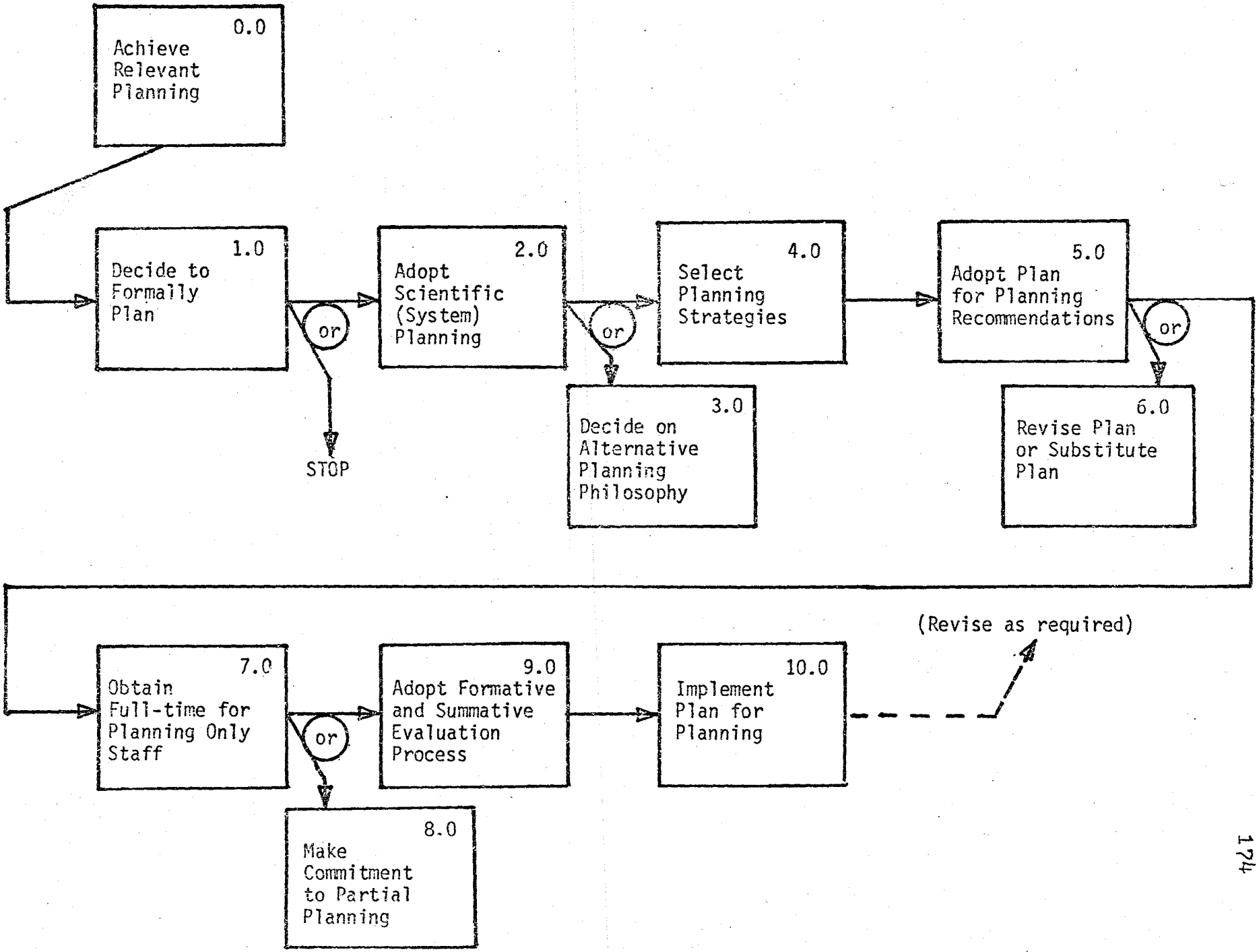
students, utilizing an Afro-oriented approach to the traditional subject content, and using Afro-oriented materials for social studies, English, and foreign language. Other subject areas were to be covered within the regular high school offerings. "School of the Arts" was oriented to students who had demonstrated success in the arts but had deficiencies in basic skills. It also was geared to give special attention to students seeking a broad cultural approach to the arts and those who wished to develop in-depth skills and knowledge as performance specialists. Its students would obtain their science, mathematics, and physical education requirements in the regular high school.

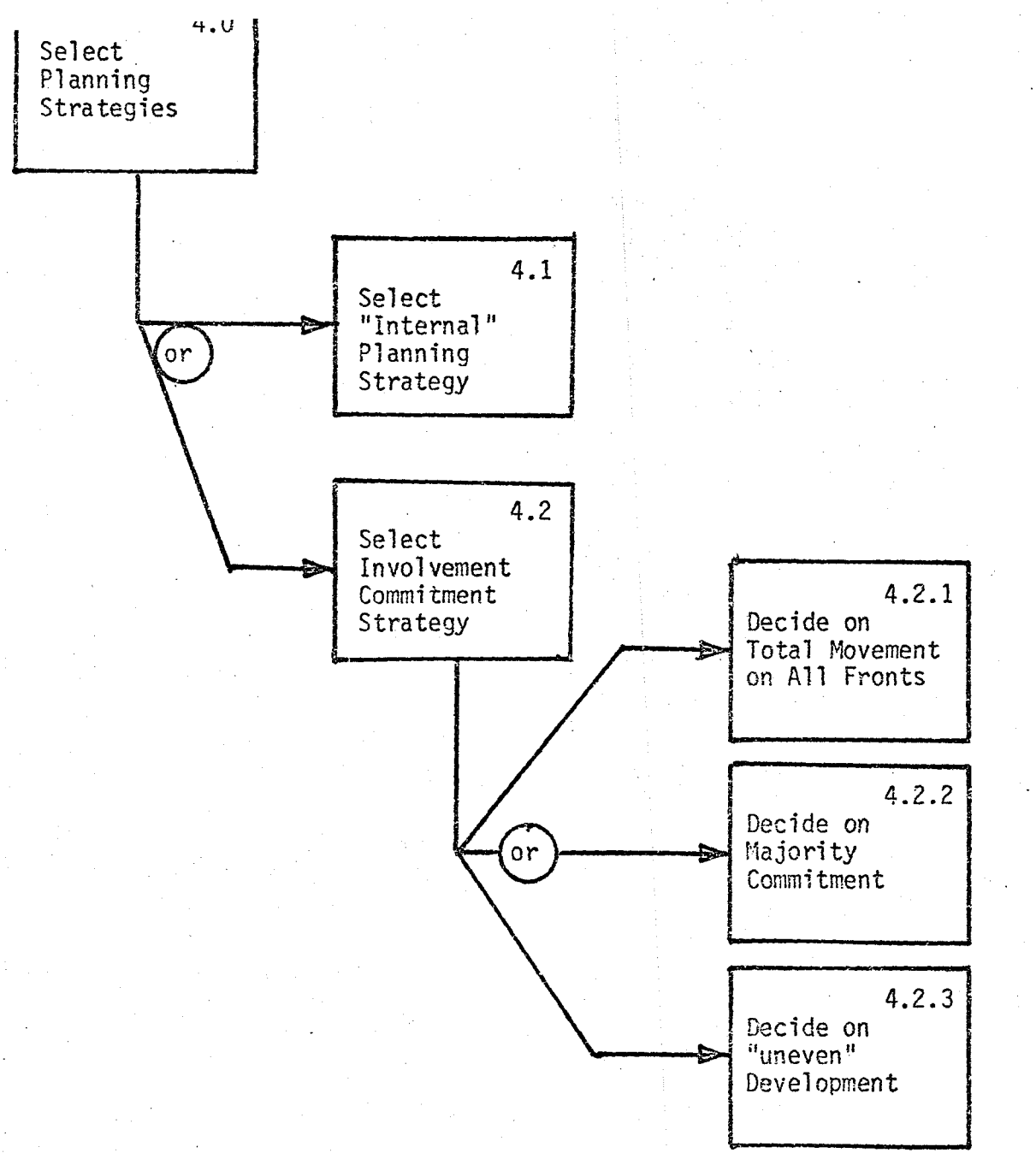
The final seven experimental schools that were to be phased in during the fall semester of 1972-1973 were: the "Junior Community", to be operated for primary-age pupils; "King Cluster", a school-within-a-school for grades seven and eight at King Junior High School; "Willard Alternative", a community cluster within Willard Junior High School, also for grades seven and eight; two more "mini-schools" for ninth graders at West Campus; a "Black House" at West Campus; and, "New Ark", a family-centered program focusing on parent resources and community involvement for kindergarten through grade twelve.

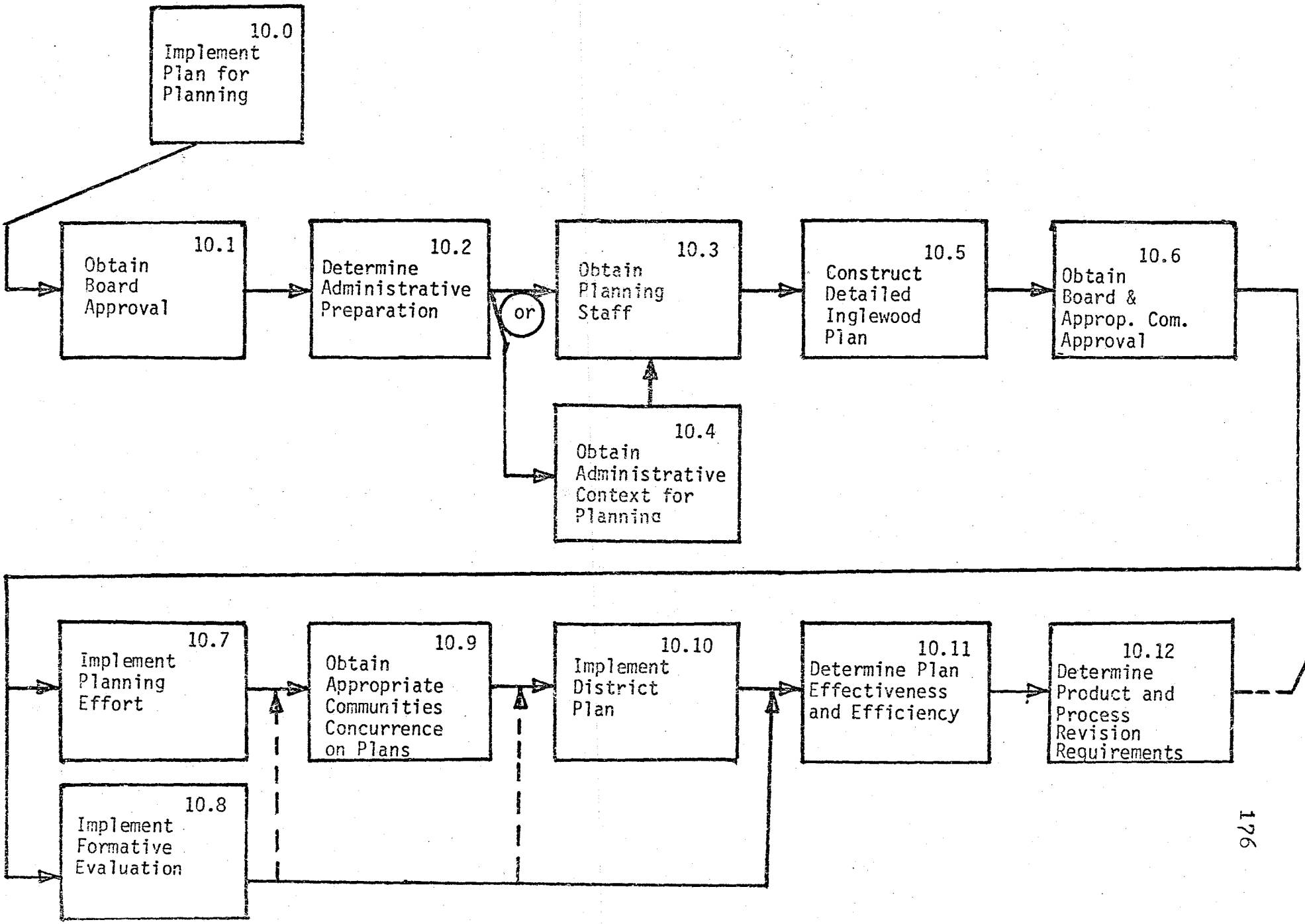
APPENDIX H

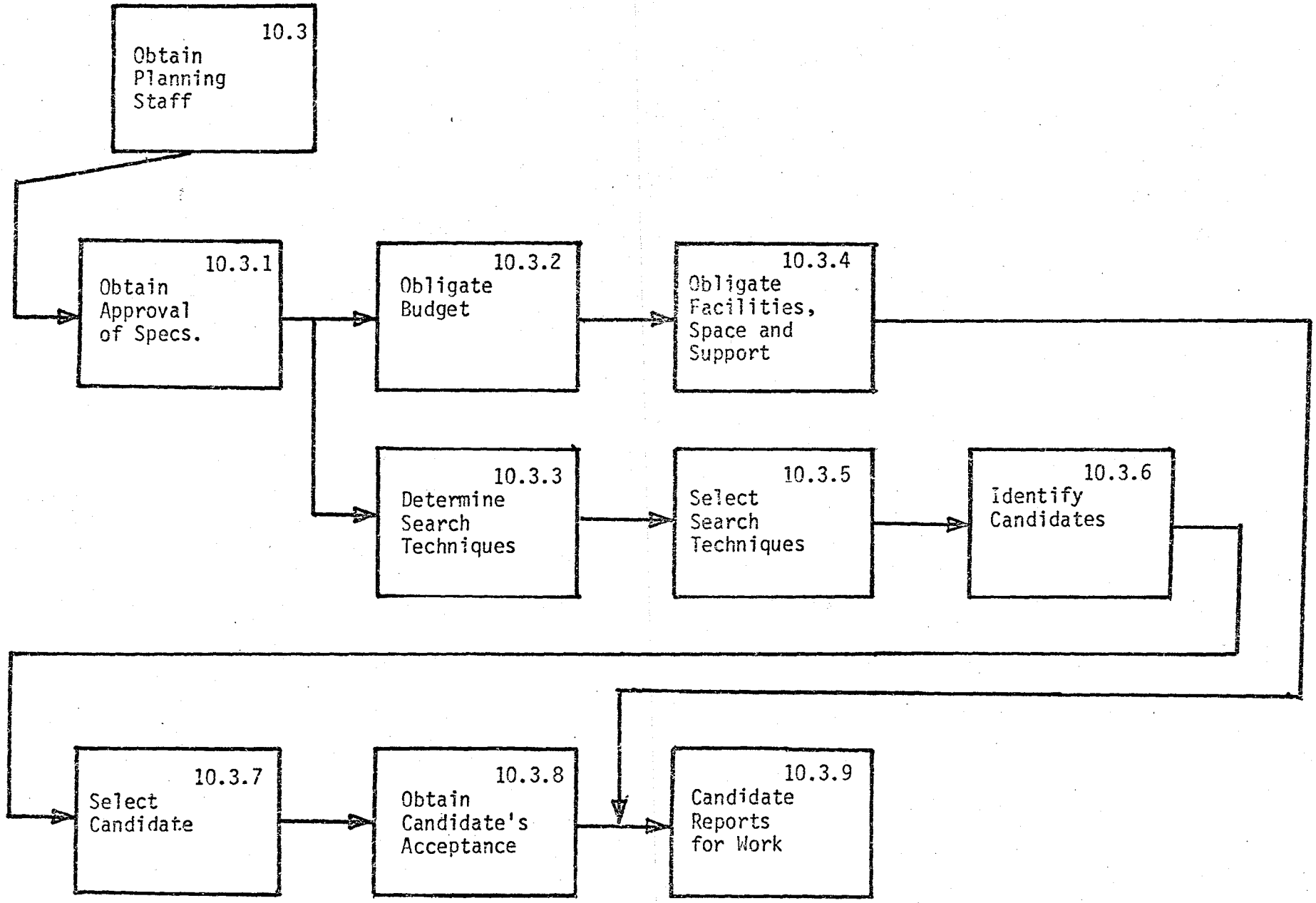
INGLEWOOD PLANNING CHARTS

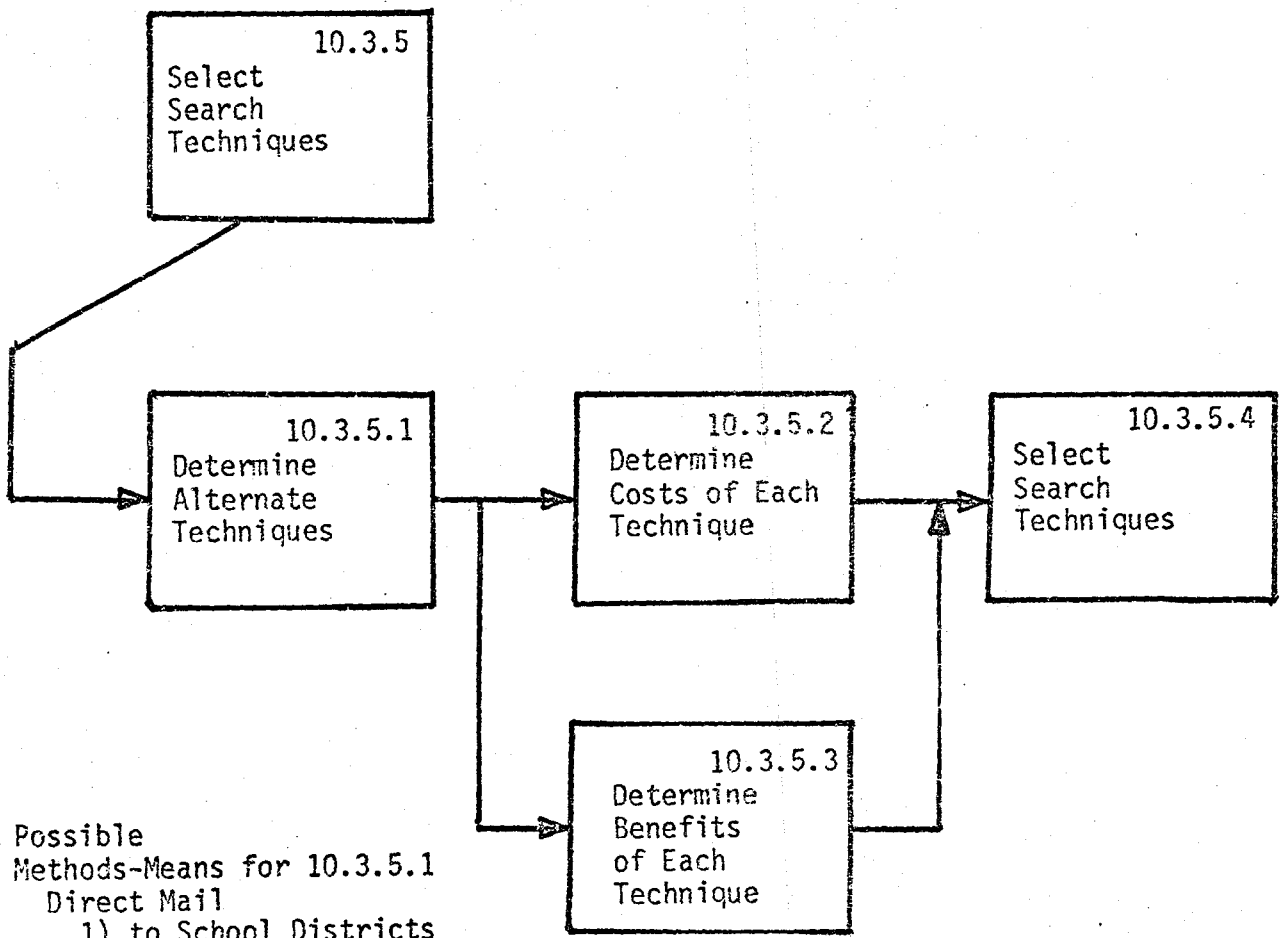
Source: A. Neil Galluzzo, "A School District Plans For Planning," Matrix, 1970 (Burlingame, Ca.: California Association of Secondary School Administrators, 1970), pp. 35-39.


0.0
Achieve Relevant Planning
1.0
Decide to Formally Plan
or
STOP
2.0
Adopt Scientific (System) Planning
or
3.0
Decide on Alternative Planning Philosophy
4.0
Select Planning Strategies
5.0
Adopt Plan for Planning Recommendations
or
6.0
Revise Plan or Substitute Plan
(Revise as required)
7.0
Obtain Full-time for Planning Only Staff
or
8.0
Make Commitment to Partial Planning
9.0
Adopt Formative and Summative Evaluation Process
10.0
Implement Plan for Planning


4.0
Select
Planning
Strategies
4.1
Select
"Internal"
Planning
Strategy
or
4.2
Select
Involvement
Commitment
Strategy
4.2.1
Decide on
Total Movement
on All Fronts
4.2.2
Decide on
Majority
Commitment
or
4.2.3
Decide on
"uneven"
Development


10.0
Implement Plan for Planning
10.1
Obtain Board Approval
10.2
Determine Administrative Preparation
or
10.3
Obtain Planning Staff
10.4
Obtain Administrative Context for Planning
10.5
Construct Detailed Inglewood Plan
10.6
Obtain Board & Approp. Com. Approval
10.7
Implement Planning Effort
10.8
Implement Formative Evaluation
10.9
Obtain Appropriate Communities Concurrence on Plans
10.10
Implement District Plan
10.11
Determine Plan Effectiveness and Efficiency
10.12
Determine Product and Process Revision Requirements


10.3
Obtain Planning Staff
10.3.1
Obtain Approval of Specs.
10.3.2
Obligate Budget
10.3.4
Obligate Facilities, Space and Support
10.3.3
Determine Search Techniques
10.3.5
Select Search Techniques
10.3.6
Identify Candidates
10.3.7
Select Candidate
10.3.8
Obtain Candidate's Acceptance
10.3.9
Candidate Reports for Work



Possible
Methods-Means for 10.3.5.1
- Direct Mail
  1) to School Districts
  2) to Graduate Schools
     (a) Education
     (b) Political Science
     (c) Business Management
     (d) Administration
- Media Advertisement
  1) Professional Organs
  2) Newspapers
- Search Committee

APPENDIX I

SITE DIRECTORS' INTERVIEW GUIDE

Unless otherwise indicated please answer the following questions by stating whether you "agree strongly", "agree","disagree", or "disagree strongly".

1-7 In your opinion, you received written, clear-cut directions from the person to whom you were accountable:

1. Regarding the special problems to anticipate during the change process period. 1a. AS__A__D__DS__

   You received these from someone else. 1b. AS__A__D__DS__

   (If a and b were "D/DS") Feel you should have? 1c. AS__A__D__DS__

   (If c was "AS/A") From whom?_____When?_____

2. Regarding what were the change effort's (BUSD's) goals. 2a. AS__A__D__DS__

   You received these from someone else. 2b. AS__A__D__DS__

   (If a-b were "D/DS") Feel you should have? 2c. AS__A__D__DS__

   (If c was "AS/A") From whom?_____When?_____

3. Regarding how your personal tasks should be modified to help effect the change effort's goals. 3a. AS__A__D__DS__

   You received these from someone else. 3b. AS__A__D__DS__

   (If a-b were "D/DS") Feel you should have? 3c. AS__A__D__DS__

   (If c was "AS/A") From whom?_____When?_____

4. Regarding what your personal goals should be to help effect the change effort's goals. 4a. AS__A__D__DS__

   You received these from someone else. 4b. AS__A__D__DS__

   (If a-b were "D/DS") Feel you should have? 4c. AS__A__D__DS__

   (If c was "AS/A") From whom?_____When?_____

5. Regarding how your school's goals were to help effect the change effort's goals. 5a. AS__A__D__DS__

   You received these from someone else. 5b. AS__A__D__DS__

   (If a-b were "D/DS") Feel you should have? 5c. AS__A__D__DS__

   (If c was "AS/A") From whom?_____When?_____

(In your opinion, you received written, clear-cut directions from the person to whom you were accountable:)

6. Regarding the need/process for setting up communication system(s) to improve group problem solving. 6a. AS__A__D__DS__

You received these from someone else. 6b. AS__A__D__DS__

(If a-b were "D/DS") Feel you should have? 6c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

7. Regarding the need/process for reducing anxiety among your peers, subordinates, or fellow employees. 7a. AS__A__D__DS__

You received these from someone else. 7b. AS__A__D__DS__

(If a-b were "D/DS") Feel you should have? 7c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

8. In your opinion, there was a plan for implementing the Experimental Schools Program prior to the opening of school in the fall of 1971. 8a. AS__A__D__DS__

(If a was "D/DS") There would have been fewer conflicts and problems if there had been such a plan. 8b. AS__A__D__DS__

(If a was "AS/A") From whom?_____ When?_____

9. In your opinion, there was a need for setting up communication system(s) to help group problem solving. 9a. AS__A__D__DS__

(If a was "AS/A") Are you aware of any process that might have helped set up a communication system to deal with group problem solving? 9b. Yes____No____

(If b was "Yes") From what source did you get this awareness?

10. In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt their seniority and/or professional future was threatened. 10. AS__A__D__DS__

11. In your opinion, there was a need for reducing anxiety among your peers, subordinates, or fellow employees. 11a. AS__A__D__DS__

(If a was "AS/A") Are you aware of any process that might have helped reduce anxiety among such groups? 11b. Yes____No____

(If b was "Yes") From what source did you get this awareness?

12. In your opinion, in regard to the effectiveness of the change process in implementing the Experimental Schools Project:

a. There were many problems. 12a. AS__A__D__DS__

b. There were more problems than you feel there should have been. 12b. AS__A__D__DS__

c. There were fewer problems than you expected there to be. 12c. AS__A__D__DS__

13. In your opinion, special stresses are placed on organizations by change. 13a. AS__A__D__DS__

Change demands more of the organization. 13b. AS__A__D__DS__

Change demands more of the individual. 13c. AS__A__D__DS__

(If b was "AS/A") In what way does it demand more of the organization?

_____

_____

(If c was "AS/A") In what way does it demand more of the individual?

_____

_____

14. In your opinion, the alternative or experimental schools demanded a really new teacher role. 14a. AS__A__D__DS__

" " Director role AS__A__D__DS__

(If a was "AS/A") Enough time, money and other resources were put into training teachers and directors for their new roles. 14b. AS__A__D__DS__

15. To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971. 15a. AS__A__D__DS__

(If a was "D/DS") He emphasized it that fall, after the project started. 15b. AS__A__D__DS__

16. Who told the directors and teachers if they were doing a good job?

_____;_____

17. In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems. 17a. AS__A__D__DS__

(If a was "AS/A") Where was this published?_____

How was it communicated?_____

If printed, do you happen to have a copy? 17b. Yes____No_____

When did you get it?

18. If this doctrine wasn't printed, did the superintendent declare and/or publicize it in talks or some other means? 18a. Yes___No___

(If a was "Yes") By what means?_____

19. In your opinion, most of the participants in the Experimental Schools Project during its initial implementation phase knew what to expect from other participants at decision-making time. 19a. AS__A__D__DS__

Did this include parents? 19b. Yes___No___

20. In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation? 20a. M___L___S___

21. Do you see change as being a separate organizational phenomenon in itself? 21a. Yes___No___

22. Have your views on that question (#21) changed as a result of the experience of working on the Experimental Schools Project? 22a. Yes___No___

(If a was "Yes") Did you learn this from someone or did experience provide the main lesson(s)? Person___Exp___

(If a person) Would you be willing to indicate who the person was?_____

_____

23. In your opinion, what were the change effort's (BUSD's) goals?

24. Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals? Yes___No___

(If yes) How?_____

25. In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?

26. In your opinion, what were your school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?

You have now answered the questions of key importance to this study; it has taken _____ minutes. There are 15 questions considered to be of secondary importance but valuable to the study. Will you take the time to answer them now? It should take another 10 minutes. (If not, may I come back another time for your answers?)

27. Washington gave very short time blocks for planning and implementing the project, if I recall correctly. Do you agree with that impression?

Yes____ No____

If so, could you recall two or three critical periods in the spring, summer or fall of 1971 when the project was put together and first started up, periods that you consider crisis times?

Were there any other crisis times that you recall?

28. In your opinion, if there were crises were most of the people involved happy with the compromises reached in resolving these crises? Yes____ No____

29. What was the structure for reaching compromises?

30. Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises? Yes____ No____

(If "Yes") Who?_____

or, what size group?_____

31. In your opinion, if there was such a group how did they inform the larger director's and/or teacher's groups of the nature of resolutions they reached in these "inner group" meetings?

32. Was there an "institutional" information link for the informational sort of purpose? Yes____ No____

(If "Yes") Who was in charge of seeing that it worked?_____

_____

33. In your opinion, did the superintendent know the district people well enough to know who could take added responsibility and who couldn't?

Yes____ No____

34. Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?

Yes____No____

(If "Yes") In your opinion, were these problems more, less, or about the same degree as those existing between new and continuing staff in the "regular" program? M___L___S___

35. Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program? Yes____No____

(If "Yes") Do you recall the reaction of any of those affected by this unassigned status? Can you tell me how they felt?

36. How was the accountability of the program enforced in BUSD; i.e., who did the superintendent name as being responsible for the Experimental Schools Program and what were that person's powers of enforcement?

Were the powers real, in your opinion, or largely a "paper tiger"?

37. Were there other feedback systems to handle unexpected program snags?

Yes____No____

(If "Yes") What were they?_____

Who had the power to make them work?_____

How often did these report sessions take place?_____

38. Who supervised the program; i.e., who reported to the superintendent on it and how often?

39. Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?

40. In your opinion, considering the parents' "Need to Know", one week in the fall of 1971 was a little short on time to get their cooperation.

AS__A__D__DS__

41. Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

Did the superintendent want more than what was provided? Yes____ No____

If so, did he get it?

If not, what did he do?

Who supervised initiating the record-keeping program?

At whose direction?

Who was responsible for reporting its findings?

To whom?

APPENDIX J

OFF-SITE PROJECT STAFF

INTERVIEW GUIDE

Unless otherwise indicated, please answer the following questions by stating whether you "agree strongly", "agree", "disagree", or "disagree strongly".

1-7. In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable:

1. Regarding the special problems to anticipate during the change process period. 1a. AS__A__D__DS__

They received these from someone else. 1b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 1c. AS__A__D__DS__

(If c was "AS/A") From whom?_____When?_____

2. Regarding what were the change effort's (BUSD's) goals. 2a. AS__A__D__DS__

They received these from someone else. 2b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 2c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

3. Regarding how their personal tasks should be modified to help effect the change effort's goals. 3a. AS__A__D__DS__

They received these from someone else. 3b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 3c. AS__A__D__DS__

(If c was "AS/A") From whom?_____When?_____

4. Regarding what their personal goals should be to help effect the change effort's goals. 4a. AS__A__D__DS__

They received these from someone else. 4b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 4c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

5. Regarding how each director's school's goals were to help effect the change effort's goals. 5a. AS__A__D__DS__

They received these from someone else. 5b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 5c. AS__A__D__DS__

(If c was "AS/A") From whom?_____When?_____

(In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable:)

6. Regarding the need/process for setting up communications system(s) to improve group problem solving. 6a. AS__A__D__DS__

They received these from someone else. 6b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 6c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

7. Regarding the need/process for reducing anxiety among their peers, subordinates, or fellow employees. 7a. AS__A__D__DS__

They received these from someone else. 7b. AS__A__D__DS__

(If a and b were "D/DS") They should have. 7c. AS__A__D__DS__

(If c was "AS/A") From whom?_____ When?_____

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(If a was "AS/A") From whom?_____ When?_____

9. In your opinion, there was a need for setting up communication system(s) to help group problem solving. 9a. AS__A__D__DS__

(If a was "AS/A") Are you aware of any process that might have helped set up any communication system(s) to deal with group problem solving? 9b. Yes___ No____

(If b was "Yes") From what source did you get this awareness?

10. In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt that their seniority and/or professional future was threatened. 10. AS__A__D__DS__

11. In your opinion, there was a need for reducing anxiety among the peers, subordinates, or fellow employees of site directors. 11a. AS__A__D__DS__

(If a was "AS/A") Are you aware of any process that might have helped reduce anxiety among such groups? 11b. Yes___No____

(If b was "Yes") From what source did you get this awareness?

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b. There were more problems than you feel there should have been. 12b. AS__A__D__DS__

c. There were fewer problems than you expected there to be. 12c. AS__A__D__DS__

13. In your opinion, special stresses are placed on organizations by change. 13a. AS__A__D__DS__

Change demands more of the organization. 13b. AS__A__D__DS__

Change demands more of the individual. 13c. AS__A__D__DS__

(If b was "AS/A") In what way does it demand more of the organization?

_____

_____

(If c was "AS/A") In what way does it demand more of the individual?

_____

_____

14. In your opinion, the alternative or experimental schools demanded a really new teacher role. 14a. AS__A__D__DS__

" " Director role AS__A__D__DS__

(If a was "AS/A") Enough time, money and other resources were put into training teachers and directors for their new roles. 14b. AS__A__D__DS__

15. To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971. 15a. AS__A__D__DS__

(If a was "D/DS") He emphasized it that fall, after the project started. 15b. AS__A__D__DS__

16. Who told the directors and teachers if they were doing a good job?

_____;_____

17. In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems. 17a. AS__A__D__DS__

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How was it communicated?_____

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When did you get it?

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(If a was "Yes") By what means?_____

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Did this include parents? 19b. Yes__No___

20. In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation? 20a. M___L___S___

21. Do you see change as being a separate organizational phenomenon in itself? 21a. Yes___No___

22. Have your views on that question (#21) changed as a result of the experience of working on the Experimental Schools Project? 22a. Yes___No___

(If a was "Yes") Did you learn this from someone or did experience provide the main lesson(s)? Person___Exp___

(If a person) Would you be willing to indicate who the person was?_____

_____

23. In your opinion, what were the change effort's (BUSD's) goals?

24. Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals? Yes___No___

(If yes) How?_____

25. In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?

26. In your opinion, what were your school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?

You have now answered the questions of key importance to this study; it has taken _____minutes. There are 15 questions considered to be of secondary importance but valuable to the study. Will you take the time to answer them now? It should take another 10 minutes. (If not, may I come back another time for your answers?)

27. Washington gave very short time blocks for planning and implementing the project, if I recall correctly. Do you agree with that impression?

Yes____No____

If so, could you recall two or three critical periods in the spring, summer or fall of 1971 when the project was put together and first started up, periods that you consider crisis times?

Were there any other crisis times that you recall?

28. In your opinion, if there were crises were most of the people involved happy with the compromises reached in resolving these crises? Yes____No____

29. What was the structure for reaching compromises?

30. Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises? Yes____No____

(If "Yes") Who?_____

or, what size group?_____

31. In your opinion, if there was such a group how did they inform the larger director's and/or teacher's groups of the nature of resolutions they reached in these "inner group" meetings?

32. Was there an "institutional" information link for the informational sort of purpose? Yes____No____

(If "Yes") Who was in charge of seeing that it worked?_____

_____

33. In your opinion, did the superintendent know the district people well enough to know who could take added responsibility and who couldn't?

Yes____No____

34. Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?
Yes____ No____

(If "Yes") In your opinion, were these problems more, less, or about the same degree as those existing between new and continuing staff in the "regular" program? M___ L___ S___

35. Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program? Yes____ No____

(If "Yes") Do you recall the reaction of any of those affected by this unassigned status? Can you tell me how they felt?

36. How was the accountability of the program enforced in BUSD; i.e., who did the superintendent name as being responsible for the Experimental Schools Program and what were that person's powers of enforcement?

Were the powers real, in your opinion, or largely a "paper tiger"?

37. Were there other feedback systems to handle unexpected program snags?
Yes____ No____

(If "Yes") What were they?_____

Who had the power to make them work?_____

How often did these report sessions take place?_____

38. Who supervised the program; i.e., who reported to the superintendent on it and how often?

39. Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?

40. In your opinion, considering the parents' "Need to Know", one week in the fall of 1971 was a little short on time to get their cooperation.

AS__A__D__DS__

41. Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

Did the superintendent want more than what was provided? Yes____ No____

If so, did he get it?

If not, what did he do?

Who supervised initiating the record-keeping program?

At whose direction?

Who was responsible for reporting its findings?

To whom?

APPENDIX K

RATIONALE STATEMENT

FOR INTERVIEW

RATIONALE

Almost four years ago the Berkeley Unified School District went through a series of activities in developing and implementing the Experimental Schools Project. Those activities brought about changes; some temporary, some more enduring.

I am investigating the process of change; specifically, as illustrated by developing and implementing the Experimental Schools Project. By identifying change as a process, I mean to convey the idea that change consists of movement through a sequence of phases, one growing out from another, toward a goal.

The purpose of this study is to help develop a theory of how to accomplish change effectively, appropriate to educational leadership. Further, it is hoped that the study might play some small part in expanding the training given in graduate schools of education; i.e., training practitioners to be more effective leaders in administering change. The current increasing variety of sources from which demands for change originate, and the accelerating pace of changes from these demands, suggest that this study is particularly timely.

You were involved in those activities which developed and implemented the Experimental Schools Project. You can be of great assistance to this study by answering the following questions:

APPENDIX L

INTERVIEW RESPONSE SUMMARY

SITE DIRECTORS

TALLY SUMMARY - DIRECTORS (N=18) SQ-1

Unless otherwise indicated please answer the following questions by stating whether you "agree strongly", "agree","disagree", or "disagree strongly".

1-7 In your opinion, you received written, clear-cut directions from the person to whom you were accountable:

1. Regarding the special problems to anticipate during the change process period. 1a. AS 0 A 0 D 6 DS 12

You received these from someone else. *Site Admin. 1b. AS 0 A* D 7 DS 10

(If a and b were "D/DS") Feel you should have? 1c. AS 11 A 6 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 13, Superintendent - 6, Washington - 1 When? Prior - 18

2. Regarding what were the change effort's (BUSD's) goals. 2a. AS 1 A 3 D 10 DS 4

You received these from someone else. * Site Admin. 2b. AS 0 A 3* D 6 DS 5

(If a-b were "D/DS") Feel you should have? 2c. AS 7 A 2 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 6, Superintendent - 4, Washington - 1 When? Prior - 9, Prior & during - 1

3. Regarding how your personal tasks should be modified to help effect the change effort's goals. 3a. AS 0 A 0 D 7 DS 11

You received these from someone else.* Site Admin. 3b. AS 0 A 1* D 7 DS 10

(If a-b were "D/DS") Feel you should have? 3c. AS 10 A 6 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 13, Superintendent - 5, Initial Impl. - 1 When? Prior - 14, & during - 1

4. Regarding what your personal goals should be to help effect the change effort's goals. 4a. AS 1 A 0 D 8 DS 9

You received these from someone else. 4b. AS 0 A 0 D 9 DS 8

(If a-b were "D/DS") Feel you should have? 4c. AS 11 A 5 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 14, Superintendent - 4, Washington - 1 When? Prior - 16, & during - 2

5. Regarding how your school's goals were to help effect the change effort's goals. 5a. AS 0 A 1 D 10 DS 7

You received these from someone else. * Site Admin. 5b. AS 0 A 2* D 6 DS 9

(If a-b were "D/DS") Feel you should have? 5c. AS 8 A 6 D 0 DS 1

(If c was "AS/A") From whom? Project Director - 11, Superintendent - 3, Site Administrator - 1 When? Prior - 14, & during -2

SUMMARY - DIRECTORS (Continued) SQ-2

(In your opinion, you received written, clear-cut directions from the person to whom you were accountable:)

6. Regarding the need/process for setting up communication system(s) to improve group problem solving. 6a. AS 0 A 0 D 6 DS 11 DK*-1

You received these from someone else. 6b. AS 0 A 3 D 5 DS 9 DK*-1

(If a-b were "D/DS") Feel you should have? 6c. AS 9 A 3 D 2 DS 0

(If c was "AS/A") From whom? Project Director - 8; Superintendent - 4; Support staff - 2 When? Prior - 9; & during -1; Initial Impl. - 3

7. Regarding the need/process for reducing anxiety among your peers, subordinates, or fellow employees. 7a. AS 0 A 0 D 5 DS 13

You received these from someone else. 7b. AS 0 A 3 D 5 DS 10

(If a-b were "D/DS") Feel you should have? 7c. AS 10 A 4 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 12; Superintendent - 4; Staff Development Office - 1 When? Prior - 13; & during-3; Initial Impl.- 1

8. In your opinion, there was a plan for implementing the Experimental Schools Program prior to the opening of school in the fall of 1971.
* One of these said, "the Green Book". 8a. AS 0 A 2* D 9 DS 6

(If a was "D/DS") There would have been fewer conflicts and problems if there had been such a plan. 8b. AS 9 A 3 D 3 DS 0 DK*-1

(If a was "AS/A") From whom? -0- When? - - -

9. In your opinion, there was a need for setting up communication system(s) to help group problem solving. 9a. AS 11 A 7 D 0 DS 0

(If a was "AS/A") Are you aware of any process that might have helped set up a communication system to deal with group problem solving? 9b. Yes 16 No 2

(If b was "Yes") From what source did you get this awareness?

"Experience" - 15; Academic Training - 6; Reading - 5 (Some gave more than one)

10. In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt their seniority and/or professional future was threatened. 10. AS 7 A 8 D 3 DS 0

11. In your opinion, there was a need for reducing anxiety among your peers, subordinates, or fellow employees. 11a. AS 11 A 7 D 0 DS 0

(If a was "AS/A") Are you aware of any process that might have helped reduce anxiety among such groups? 11b. Yes 17 No 1

(If b was "Yes") From what source did you get this awareness?

"Experience" - 16; Academic Training - 6; Reading - 6 (Some gave more than one)

* DK* = Don't Know

SUMMARY - DIRECTORS (Continued)

12. In your opinion, in regard to the effectiveness of the change process in implementing the Experimental Schools Project:

a. There were many problems. 12a. AS 15 A 3 D 0 DS 0

b. There were more problems than you feel there should have been. 12b. AS 13 A 4 D 1 DS 0

c. There were fewer problems than you expected there to be. 12c. AS 0 A 1 D 8 DS 8

13. In your opinion, special stresses are placed on organizations by change. 13a. AS 13 A 5 D 0 DS 0

Change demands more of the organization. 13b. AS 15 A 3 D 0 DS 0

Change demands more of the individual. 13c. AS 14 A 4 D 0 DS 0

(If b was "AS/A") In what way does it demand more of the organization?
Multiple responses, but no pattern

(If c was "AS/A") In what way does it demand more of the individual?
Multiple responses, but no pattern

14. In your opinion, the alternative or experimental schools demanded a really new teacher role. 14a. AS 9 A 5 D 4 DS 0

" " Director role AS 12 A 3 D 3 DS 0

(If a was "AS/A") Enough time, money and other resources were put into training teachers and directors for their new roles. 14b. AS 0 A 0 D 7 DS 9

15. To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971. 15a. AS 1 A 3 D 7 DS 5 DK*-2

(If a was "D/DS") He emphasized it that fall, after the project started. 15b. AS 0 A 2 D 9 DS 4 DK*-1

16. Who told the directors and teachers if they were doing a good job?
"No-one" - 7; Community - 5; ; Students - 4; Project Director - 4
Site Administrator - 1

17. In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems.

* One said, "You were on your own." 17a. AS 0 A 0 D 11 DS 7*

(If a was "AS/A") Where was this published? - - -
How was it communicated? - - -
If printed, do you happen to have a copy? 17b. Yes ___ No ___
When did you get it?

* DK* = Don't Know

18. If this doctrine wasn't printed, did the superintendent declare and/or publicize it in talks or some other means? 18a. Yes 0 No 16 DK* - 2

(If a was "Yes") By what means? - - -

19. In your opinion, most of the participants in the Experimental Schools Project during its initial implementation phase knew what to expect from other participants at decision-making time. 19a. AS 0 A 0 D 6 DS 12

A number said, "Absolutely, did not know!"
Did this include parents? 19b. Yes * No

"Yes, Parents did not know either." - 18

20. In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation? 20a. M 18 L 0 S 0

21. Do you see change as being a separate organizational phenomenon in itself? 21a. Yes 13 No 5

22. Have your views on that question (#21) changed as a result of the experience of working on the Experimental Schools Project? 22a. Yes 3 No 15

(If a was "Yes") Did you learn this from someone or did experience provide the main lesson(s)? Person 0 Exp 3

(If a person) Would you be willing to indicate who the person was? - - -

23. In your opinion, what were the change effort's (BUSD's) goals?

"Green Book" - 9 Many other kinds of comments, including a number who commented that "money" had been goal...

24. Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals? Yes 5 No 13

(If yes) How? - - -

25. In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?

Multiple responses, no pattern

26. In your opinion, what were your school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?

Multiple responses, no pattern

* DK* = Don't Know

You have now answered the questions of key importance to this study; it has taken _____ minutes. There are 15 questions considered to be of secondary importance but valuable to the study. Will you take the time to answer them now? It should take another 10 minutes. (If not, may I come back another time for your answers?)

27. Washington gave very short time blocks for planning and implementing the project, if I recall correctly. Do you agree with that impression?
Yes 15 No 1 DK* - 2

If so, could you recall two or three critical periods in the spring, summer or fall of 1971 when the project was put together and first started up, periods that you consider crisis times? Most frequently mentioned: Evaluation conflicts; Changes in directions; and, Negotiations.
No answer - 3 Two crises noted - 6
One crisis noted - 4 Three or more crises noted - 5

Were there any other crisis times that you recall?
Types of crisis as noted above. No answer - 9 Two crises noted - 3
One crisis noted - 2 Three or more - 4

28. In your opinion, if there were crises were most of the people involved happy with the compromises reached in resolving these crises? Yes 1 No 15
"None were resolved" - 1; Mixed reactions - 1.

29. What was the structure for reaching compromises?
"None" - 15; "Reaching consensus" - 2; Experimental Schools Director in role of arbitrator - 1.

30. Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises? Yes 10 No 7 Varied- 1
(If "Yes") Who? ES Project Director & site Directors - 3; Superintendent & cabinet - 2; Central ESP staff - 2; Director & few cronies - 1; Project director & assistant supt. - 1; varied- 1.
or, what size group? "Small" - 2; "Size varied" - 2

31. In your opinion, if there was such a group how did they inform the larger director's and/or teacher's groups of the nature of resolutions they reached in these "inner group" meetings? Monthly staff meetings - 5;"No pattern" - 3; Staff meeting at sites - 2; "They didn't" - 1; Director announced it - 1; "Osmosis" - 1; Newsletter - 1.

32. Was there an "institutional" information link for the informational sort of purpose? Monthly meeting - 2; "Douthit" -1; letter-1; Yes 4 No 14

(If "Yes") Who was in charge of seeing that it worked? "Don't Know" - 1; Project Director - 1; "No-one" - 1.

33. In your opinion, did the superintendent know the district people well enough to know who could take added responsibility and who couldn't?
"Don't Know" - 4 Yes 5 No 9

* DK* = Don't Know

34. Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?
"Don't Know" - 1 Yes 16 No 1

(If "Yes") In your opinion, were these problems more, less, or about the same degree as those existing between new and continuing staff in the "regular" program? M 13 L 0 S 3

35. Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program? Yes 4 No 13

(If "Yes") Do you recall the reaction of any of those affected by this unassigned status? Can you tell me how they felt?

No pattern to responses

36. How was the accountability of the program enforced in BUSD; i.e., who did the superintendent name as being responsible for the Experimental Schools Program and what were that person's powers of enforcement?
Project Director - 16; "Don't Know" - 1; "There was none" - 1.

Were the powers real, in your opinion, or largely a "paper tiger"?
Real - 3; "Paper Tiger" - 12; "Don't Know" - 1

37. Were there other feedback systems to handle unexpected program snags?
Yes 4 No 14

(If "Yes") What were they? Project director's open door - 1; ESP support staff - 1; Monthly meetings - 1.
Who had the power to make them work? Site directors - 1; "project director, to some extent" - 1.
How often did these report sessions take place? "Fairly regularly" - 1; "Don't Know" - 1.

38. Who supervised the program; i.e., who reported to the superintendent on it and how often? Re: "WHO" - Project director - 12; "Everyone" - 4; "I assume, the project director" - 1.
Re: "HOW OFTEN?" - "Don't Know" - 9; "It varied" - 2; "Quite often" - 1; "Fairly regularly" - 1.

39. Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?
"No training going on to report" - 9; "Don't Know" - 5; "Assume it was the project director" - 2; "Project director and site principal" - 1; "Project director" - 1.

40. In your opinion, considering the parents' "Need to Know", one week in the fall of 1971 was a little short on time to get their cooperation.

AS 10 A 8 D __ DS __

41. Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

"None" - 16; "This wasn't carried out too well" - 1; "Don't Know" - 1.

Did the superintendent want more than what was provided? Yes 2 No 3

"He never expressed any need" - 4; "He must have"-1; "Don't Know" - 6

If so, did he get it? "Got that impression" - 1; "Mixed" - 1

"No" - 2; "It appears he didn't" - 1; "To some extent" - 1.

If not, what did he do?

"Changed Associate Directors" - 1; "Don't Know" - 1;
"Took care of own business" - 1.

Who supervised initiating the record-keeping program?

Associate Director for Evaluation - 3; "Don't Know" - 3; "No-one" - 2.

At whose direction?

Project director's - 3

Who was responsible for reporting its findings?

Associate Director for Evaluation - 1; "None required" - 1; "Don't Know" - 1.

To whom?

Superintendent and Washington - 1
Superintendent and Project Director - 1
"Don't Know" - 1

APPENDIX M

INTERVIEW RESPONSE SUMMARY

OFF-SITE STAFF

EXHIBIT M

Unless otherwise indicated, please answer the following questions by stating whether you "agree strongly", "agree", "disagree", or "disagree strongly".

1-7. In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable:

1. Regarding the special problems to anticipate during the change process period. 1a. AS 0 A 1 D 2 DS 11

They received these from someone else. Hi Sch Prin-1 1b. AS 0 A 2 D 5 DS 5 DK*-1

(If a and b were "D/DS") They should have. 1c. AS 6 A 4 D 0 DS 1

(If c was "AS/A") From whom? Superintendent - 6; Project Director - 4; Central Administration - 3; Washington - 2 When? Prior - 9

2. Regarding what were the change effort's (BUSD's) goals. 2a. AS 3 A 4 D 5 DS 2

They received these from someone else. Hi Sch Prin-1 2b. AS 0 A 1 D 6 DS 0

(If a and b were "D/DS") They should have. 2c. AS 3 A 3 D 0 DS 0

(If c was "AS/A") From whom? Project Director - 4; Superintendent - 1; Washington - 1; Central Administration - 1 When? Prior - 5

3. Regarding how their personal tasks should be modified to help effect the change effort's goals. 3a. AS 0 A 0 D 8 DS 5 DK*-1

They received these from someone else. 3b. AS 0 A 0 D 7 DS 6

(If a and b were "D/DS") They should have. 3c. AS 6 A 6 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 7; Superintendent - 6; Washington - 1 When? Prior - 8; Early in Implementation-2

4. Regarding what their personal goals should be to help effect the change effort's goals. 4a. AS 1 A 2 D 5 DS 6

They received these from someone else. "Themselves"-1 4b. AS 0 A 0 D 7 DS 5

(If a and b were "D/DS") They should have. 4c. AS 4 A 4 D 2 DS 2

(If c was "AS/A") From whom? Project Director - 4; Superintendent - 4; Office of Project Development - 1; Washington-1 When? Prior - 7; Early in Implementation-1

5. Regarding how each director's school's goals were to help effect the change effort's goals. 5a. AS 1 A 0 D 7 DS 4 DK*-2

They received these from someone else. 5b. AS 0 A 1 D 7 DS 3

(If a and b were "D/DS") They should have. 5c. AS 6 A 1 D 1 DS 1 DK*-1

(If c was "AS/A") From whom? Project Director - 3; Superintendent - 3; Washington - 1 When? Prior - 6

* DK* = "Don't Know"

(In your opinion, site directors received written, clear-cut directions from the person to whom they were accountable:)

6. Regarding the need/process for setting up communications system(s) to improve group problem solving. 6a. AS 0 A 2 D 5 DS 5

They received these from someone else. 6b. AS 0 A 0 D 6 DS 4

(If a and b were "D/DS") They should have. 6c. AS 8 A 2 D 0 DS 0

(If c was "AS/A") From whom? Project Director - 5; Superintendent - 3; Training Director - 1; Project Dev. - 1; Washingtn-1 When? Prior - 9; Initial Implementation-1

7. Regarding the need/process for reducing anxiety among their peers, subordinates, or fellow employees. 7a. AS 0 A 1 D 6 DS 6

They received these from someone else. 7b. AS 0 A 0 D 7 DS 5

(If a and b were "D/DS") They should have. 7c. AS 7 A 4 D 0 DS 0

(If c was "AS/A") From whom? Project Director - 8; Superintendent - 4; Training Director - 1; Washington - 1. When? Prior - 9; Initial Impl. - 2

8. In your opinion, there was a plan for implementing the Experimental Schools Program prior to the opening of school in the fall of 1971. 8a. AS 2 A 1 D 6 DS 5

(If a was "D/DS") There would have been fewer conflicts and problems if there had been such a plan. 8b. AS 8 A 2 D 0 DS 0

(If a was "AS/A") From whom? Supt. & "Green Book" - 1; Project Director, I guess-1 When? Prior - 1; DK* - 1

9. In your opinion, there was a need for setting up communication system(s) to help group problem solving. 9a. AS 13 A 1 D 0 DS 0

(If a was "AS/A") Are you aware of any process that might have helped set up any communication system(s) to deal with group problem solving? 9b. Yes 13 No 1

(If b was "Yes") From what source did you get this awareness? "Experience" - 10; Academic Training - 4; Reading - 2

10. In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt that their seniority and/or professional future was threatened. 10. AS 8 A 4 D 2 DS 0

11. In your opinion, there was a need for reducing anxiety among the peers, subordinates, or fellow employees of site directors. 11a. AS 8 A 5 D 1 DS 0

(If a was "AS/A") Are you aware of any process that might have helped reduce anxiety among such groups? 11b. Yes 10 No 3

(If b was "Yes") From what source did you get this awareness? "Experience" - 8; Academic Training - 4; Reading - 1.

* DK* = "Don't Know"

12. In your opinion, in regard to the effectiveness of the change process in implementing the Experimental Schools Project:

a. There were many problems. 12a. AS 12 A 2 D 0 DS 0

b. There were more problems than you feel there should have been. 12b. AS 8 A 3 D 1 DS 1 DK*-1

c. There were fewer problems than you expected there to be. 12c. AS 0 A 1 D 4 DS 9

13. In your opinion, special stresses are placed on organizations by change. 13a. AS 11 A 3 D 0 DS 0

Change demands more of the organization. 13b. AS 13 A 1 D 0 DS 0

Change demands more of the individual. 13c. AS 14 A 0 D 0 DS 0

(If b was "AS/A") In what way does it demand more of the organization?
No pattern to responses

(If c was "AS/A") In what way does it demand more of the individual?
No pattern to responses

14. In your opinion, the alternative or experimental schools demanded a really new teacher role. 14a. AS 4 A 5 D 3 DS 1

" " Director role AS 6 A 6 D 1 DS 1

(If a was "AS/A") Enough time, money and other resources were put into training teachers and directors for their new roles. 14b. AS A D 2 DS 10

15. To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971. 15a. AS 0 A 1 D 7 DS 5 DK*-1

(If a was "D/DS") He emphasized it that fall, after the project started. 15b. AS 0 A 2 D 7 DS 4

16. Who told the directors and teachers if they were doing a good job?
"No-one" - 6; Project Director-3; Support staff - 3; "Don't Know"-2; Building Principal - 2; Parents/students - 1; Washington - 1.

17. In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems. 17a. AS 2 A 4 D 4 DS 4

(If a was "AS/A") Where was this published? "Green Book" - 6
How was it communicated? Copies to sites - 2

If printed, do you happen to have a copy? 17b. Yes 4 No 1
When did you get it? "Wrote it" - 1
"When I came to my project position" - 3

* DK* = "Don't Know"

18. If this doctrine wasn't printed, did the superintendent declare and/or publicize it in talks or some other means? 18a. Yes 2 No 8

(If a was "Yes") By what means? "Board Meetings" - 1; "Talks" - 1

19. In your opinion, most of the participants in the Experimental Schools Project during its initial implementation phase knew what to expect from other participants at decision-making time. 19a. AS 0 A 1 D 3 DS 9 DK*-1

Did this include parents? 19b. Yes 1 No **

**"Parents did not know either" - 12

20. In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation? 20a. M 14 L S

21. Do you see change as being a separate organizational phenomenon in itself? 21a. Yes 7 No 6
"Either"- 1

22. Have your views on that question (#21) changed as a result of the experience of working on the Experimental Schools Project? 22a. Yes 3 No 11

(If a was "Yes") Did you learn this from someone or did experience provide the main lesson(s)? Person Exp 3

(If a person) Would you be willing to indicate who the person was? - - -

23. In your opinion, what were the change effort's (BUSD's) goals?

"Green Book Goals" - 7
No pattern to other responses

24. Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals? Yes 8 No 3

(If yes) How? Took on new assignment with project

25. In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?

No pattern to responses

26. In your opinion, what were your school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?

No pattern to responses

* DK* = "Don't Know"

EXHIBIT M (Continued) 5

You have now answered the questions of key importance to this study; it has taken _____ minutes. There are 15 questions considered to be of secondary importance but valuable to the study. Will you take the time to answer them now? It should take another 10 minutes. (If not, may I come back another time for your answers?)

27. Washington gave very short time blocks for planning and implementing the project, if I recall correctly. Do you agree with that impression?

Yes 13 No 1

If so, could you recall two or three critical periods in the spring, summer or fall of 1971 when the project was put together and first started up, periods that you consider crisis times? Most frequently mentioned: Negotiations with Washington; re-writing periods.

Recalled none - 1 Recalled two - 4
Recalled one - 2 Recalled three or more - 7

Were there any other crisis times that you recall?

Recalled none - 4 Recalled two - 3
Recalled one - 1 Recalled three or more - 6

28. In your opinion, if there were crises were most of the people involved happy with the compromises reached in resolving these crises? Yes 4 No 9

29. What was the structure for reaching compromises?
"None" - 10 Individual & group bargaining with the
Directors meetings - 1 superintendent - 1
"I think there was something..." - 1 "Many varieties" - 1

30. Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises? Yes 9 No 5
"Varied" - 6; superintendent & cabinet - 1;
(If "Yes") Who? Project Director & site directors - 2;
Superintendent and one or two others - 1.
or, what size group? "five to seven people" - 1; "varied" - 8

31. In your opinion, if there was such a group how did they inform the larger director's and/or teacher's groups of the nature of resolutions they reached in these "inner group" meetings? "They didn't" - 5; "memo" - 2; "Meetings with groups" - 2; "Public meetings" - 1.

32. Was there an "institutional" information link for the informational sort of purpose? Weekly directors' meetings - 3 Yes 7 No 7
"Morning after" after Board Meetings.
(If "Yes") Who was in charge of seeing that it worked? Project Director - 3;
Information specialist - 3; Superintendent + one, prior to impl - 1.

33. In your opinion, did the superintendent know the district people well enough to know who could take added responsibility and who couldn't?

Yes 6 No 5 DK* - 2

* DK* = "Don't Know"

34. Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?

Yes 12 No 2

(If "Yes") In your opinion, were these problems more, less, or about the same degree as those existing between new and continuing staff in the "regular" program? M 9 L 1 S 2

35. Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program? Yes 7 No 7

(If "Yes") Do you recall the reaction of any of those affected by this unassigned status? Can you tell me how they felt?

No pattern to responses

36. How was the accountability of the program enforced in BUSD; i.e., who did the superintendent name as being responsible for the Experimental Schools Program and what were that person's powers of enforcement?

Project Director - 13 "Don't Know" - 1

Were the powers real, in your opinion, or largely a "paper tiger"?

"Real" - 5; "Paper Tiger" - 7; "Don't Know" - 1

37. Were there other feedback systems to handle unexpected program snags?

Yes 1 No 9 DK* - 2

(If "Yes") What were they? 1-"Support staff & Project director's open door"

Who had the power to make them work? Project director - 1

How often did these report sessions take place? - - -

38. Who supervised the program; i.e., who reported to the superintendent on it and how often? Re: "Who" - Project Director - 14

Re: "How often" - Seldon - 1; "On demand/not regularly" - 6; Weekly meetings - 1; "Don't Know"-5

39. Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?

Project director - 6
"No training during this time, nothing to report" - 5
"Doubt subject ever came up" - 1
"Don't Know" - 2

* DK* = "Don't Know"

40. In your opinion, considering the parents' "Need to Know", one week in the fall of 1971 was a little short on time to get their cooperation.

AS 7 A 6 D DS DK* - 1

41. Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

"None" - 11
"Don't know" - 3

Did the superintendent want more than what was provided? Yes 2 No 6 DK* - 5

If so, did he get it?

"No" - 2

If not, what did he do?

"Covered the lack with Washington" - 1
"Fired the Evaluation Director" - 1
"Never got the idea this was of concern to him." - 1

Who supervised initiating the record-keeping program?

Associate Director for Evaluation - 5; "No-one" - 1; DK* - 2

At whose direction?

Washington and Berkeley School District - 1
Project Director - 4

Who was responsible for reporting its findings?

Project Director-- 2; Associate Director for Evaluation - 2;
Superintendent - 1; "Don't Know" - 2.

To whom?

Washington - 3; superintendent - 2; Board of Education - 1;
Project Director - 1.

* DK* = "Don't Know"

APPENDIX N

INTERVIEW RESPONSES

TOTAL SUMMARY

TOTAL OF RESPONSES (N=32) SQ-1

Unless otherwise indicated please answer the following questions by stating whether you "agree strongly", "agree","disagree", or "disagree strongly".

1-7 In your opinion, you received written, clear-cut directions from the person to whom you were accountable:

1. Regarding the special problems to anticipate during the change process period. 1a. AS 0 A 1 D 8 DS 23

You received these from someone else. 1b. AS 0 A 3 D 12 DS 15

(If a and b were "D/DS") Feel you should have? 1c. AS 17 A 10 D 1 DS 1

(If c was "AS/A") From whom? Project Director - 17; Superintendent - 12; Washington - 3; Central Administration - 3 When? Prior to start - 27

2. Regarding what were the change effort's (BUSD's) goals. 2a. AS 4 A 7 D 15 DS 6

You received these from someone else. 2b. AS 0 A 4 D 12 DS 5

(If a-b were "D/DS") Feel you should have? 2c. AS 10 A 5 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 10; Superintendent - 5; Washington - 2; Central Administration - 1 When? Prior = 14; Init. - 1

3. Regarding how your personal tasks should be modified to help effect the change effort's goals. 3a. AS 0 A 0 D 15 DS 16

You received these from someone else. 3b. AS 0 A 1 D 14 DS 16

(If a-b were "D/DS") Feel you should have? 3c. AS 16 A 12 D 2 DS 0

(If c was "AS/A") From whom? Project Director - 20; Superintendent - 11; Washington - 1 When? Prior - 22; Init. - 3; Prior & during- 1

4. Regarding what your personal goals should be to help effect the change effort's goals. 4a. AS 2 A 2 D 13 DS 15

You received these from someone else. 4b. AS 0 A 0 D 16 DS 13

(If a-b were "D/DS") Feel you should have? 4c. AS 15 A 9 D 3 DS 2

(If c was "AS/A") From whom? Project Director - 18; Superintendent - 8; Washington - 2; Central Administration - 1 When? Prior - 23; Init. - 1

5. Regarding how your school's goals were to help effect the change effort's goals. Don't know-2 5a. AS 1 A 1 D 17 DS 11

You received these from someone else. 5b. AS 0 A 3 D 13 DS 12

(If a-b were "D/DS") Feel you should have? Don't know-1 5c. AS 14 A 7 D 1 DS 2

(If c was "AS/A") From whom? Project Director - 14; Superintendent - 6; Washington - 1; Site administrator - 1 When? Prior - 20; Prior & during - 1

Exhibit N (Cont'd.) SQ-2

(In your opinion, you received written, clear-cut directions from the person to whom you were accountable:)

6. Regarding the need/process for setting up communication system(s) to improve group problem solving. 6a. AS 1 A 2 D 11 DS 16 DK*-1

You received these from someone else. 6b. AS 0 A 3 D 11 DS 13 DK*-1

(If a-b were "D/DS") Feel you should have? 6c. AS 17 A 5 D 2 DS 0

(If c was "AS/A") From whom? Project Director - 13; Superintendent - 6; Washington - 1; Central Staff - 4

When? Prior - 18; Init. - 4; Prior & during - 1

7. Regarding the need/process for reducing anxiety among your peers, subordinates, or fellow employees. 7a. AS 0 A 1 D 11 DS 19

You received these from someone else. 7b. AS 0 A 3 D 12 DS 15

(If a-b were "D/DS") Feel you should have? 7c. AS 17 A 8 D 1 DS 0

(If c was "AS/A") From whom? Project Director - 20; Superintendent - 8; Washington - 1; Central Staff - 2

When? Prior - 22; Init. - 3; Prior & during - 3

8. In your opinion, there was a plan for implementing the Experimental Schools Program prior to the opening of school in the fall of 1971. 8a. AS 2 A 3 D 15 DS 11 DK*-1

(If a was "D/DS") There would have been fewer conflicts and problems if there had been such a plan. 8b. AS 17 A 5 D 3 DS 0 DK*-1

(If a was "AS/A") From whom? "Project Director, I Guess." - 1; Superintendent - 1

When? Prior - 1; DK* - 1

9. In your opinion, there was a need for setting up communication system(s) to help group problem solving. 9a. AS 24 A 8 D 00 DS 0

(If a was "AS/A") Are you aware of any process that might have helped set up a communication system to deal with group problem solving? 9b. Yes 29 No 3

(If b was "Yes") From what source did you get this awareness?

Academic Training - 10; Reading - 7; Experience - 25

10. In your opinion, there were fellow employees who, during the Experimental Schools development and initial implementation period, felt their seniority and/or professional future was threatened. 10. AS 15 A 12 D 5 DS 0

11. In your opinion, there was a need for reducing anxiety among your peers, subordinates, or fellow employees. 11a. AS 19 A 12 D 1 DS 0

(If a was "AS/A") Are you aware of any process that might have helped reduce anxiety among such groups? 11b. Yes 27 No 4

(If b was "Yes") From what source did you get this awareness?

Academic Training - 10; Reading - 7; Experience - 24

*DK = "Don't Know."

12. In your opinion, in regard to the effectiveness of the change process in implementing the Experimental Schools Project:

a. There were many problems. 12a. AS 27 A 5 D 0 DS 0

b. There were more problems than you feel there should have been. 12b. AS 21 A 7 D 2 DS 1 DK*-1

c. There were fewer problems than you expected there to be. 12c. AS 0 A 2 D 12 DS 17

13. In your opinion, special stresses are placed on organizations by change. 13a. AS 24 A 8 D 0 DS 0

Change demands more of the organization. 13b. AS 28 A 4 D 0 DS 0

Change demands more of the individual. 13c. AS 28 A 4 D 0 DS 0

(If b was "AS/A") In what way does it demand more of the organization?
Responses extremely varied, gave no pattern.

(If c was "AS/A") In what way does it demand more of the individual?
Responses extremely varied, gave no pattern.

14. In your opinion, the alternative or experimental schools demanded a really new teacher role. 14a. AS 13 A 10 D 7 DS 1

" " Director role AS 18 A 9 D 4 DS 1

(If a was "AS/A") Enough time, money and other resources were put into training teachers and directors for their new roles. 14b. AS 0 A 0 D 9 DS 19

15. To the best of your knowledge, the superintendent emphasized this "new role" aspect of the project and related training needs during the summer of 1971. 15a. AS 1 A 4 D 14 DS 10 DK*-1

(If a was "D/DS") He emphasized it that fall, after the project started. 15b. AS 0 A 2 D 14 DS 8

16. Who told the directors and teachers if they were doing a good job?
Project Director - 7; Students-5; Parents/Community-5; Site Adm.-3;
Support Staff - 3; Washington - 1; DK* - 2; "No-one" - 13.

17. In your opinion, there was a doctrine (Goal/Objectives statement) for this project that all workers could refer to as a guideline for planning to take on problems. 17a. AS 2 A 4 D 15 DS 11

(If a was "AS/A") Where was this published? "Green Book" - 6
How was it communicated? Copies to sites - 2

If printed, do you happen to have a copy? 17b. Yes 4 No 1

When did you get it?
"Wrote it" - 1
When position assumed - 3

*DK = "Don't Know."

18. If this doctrine wasn't printed, did the superintendent declare and/or publicize it in talks or some other means? 18a. Yes 2 No 24 DK*-2

(If a was "Yes") By what means? Board meetings/workshop

19. In your opinion, most of the participants in the Experimental Schools Project during its initial implementation phase knew what to expect from other participants at decision-making time. 19a. AS 0 A 1 D 9 DS 21 DK*-1

Did this include parents? 19b. Yes **No

**"Yes, they didn't know either, etc." - 30

20. In your opinion, does organizational change require more, less, or about the same amount of face-to-face contact to be successful in comparison to a static situation? 20a. M 32 L 0 S 0

21. Do you see change as being a separate organizational phenomenon in itself? Either - 1 21a. Yes 20 No 11

22. Have your views on that question (#21) changed as a result of the experience of working on the Experimental Schools Project? 22a. Yes 6 No 26

(If a was "Yes") Did you learn this from someone or did experience provide the main lesson(s)? Person 0 Exp 6

(If a person) Would you be willing to indicate who the person was? - - -

23. In your opinion, what were the change effort's (BUSD's) goals?

"Green Book" - 11

"Others" - 14 Others, with "Green Book" mentioned - 7

24. Did you feel that you had any of your personal tasks modified to help effect the change effort's (BUSD's) goals? Yes 13 No 16

(If yes) How? Took new assignment

25. In your opinion, what were your personal goals regarding helping the change effort's (BUSD's) goals?

"Green Book" - 9

Goals which were different than those in "Green Book" - 23

26. In your opinion, what were your school's (office's) goals in regard to helping effect the change effort's (BUSD's) goals?

Those in "Green Book" - 10

Goals which were different than those in "Green Book" - 22

*DK = "Don't Know."

You have now answered the questions of key importance to this study; it has taken - - - minutes. There are 15 questions considered to be of secondary importance but valuable to the study. Will you take the time to answer them now? It should take another 10 minutes. (If not, may I come back another time for your answers?)

27. Washington gave very short time blocks for planning and implementing the project, if I recall correctly. Do you agree with that impression?

Yes 28 No 2 DK* - 2

If so, could you recall two or three critical periods in the spring, summer or fall of 1971 when the project was put together and first started up, periods that you consider crisis times?

Noted one period - 6
Noted two periods-10
Noted three or more periods - 12

Most frequently mentioned areas within comments: Re-write periods; Negotiations with Washington; Conflicts around evaluation; and, "switching signals" after stage set.

Were there any other crisis times that you recall?
Noted one period - 3
Noted two periods- 6
Noted three or more periods - 10

28. In your opinion, if there were crises were most of the people involved happy with the compromises reached in resolving these crises? Yes 5 No 24

"None were resolved" - 1; "Mixed" - 1

29. What was the structure for reaching compromises?

"There was none" - 25
Director's meetings - 1
"I think there was something." - 1
"Bargaining with Supt." - 1
"Reaching consensus" - 1
Director as Arbitrator - 1
"Many varieties" - 1

30. Do you know who or what size group was involved in these "inner decisions" regarding critical problems or crises? Yes 19 No 12

Supt. & Cabinet - 4; "It varied" - 7; "Project Director and cronies" - 1
Project Director & Site Director - 4 Central ESP staff - 2
(If "Yes") Who? Site Director and Assistant Superintendent - 1

or, what size group? "Size varied" - 10; "Small" - 3

31. In your opinion, if there was such a group how did they inform the larger director's and/or teacher's groups of the nature of resolutions they reached in these "inner group" meetings?

"They didn't" - 6; monthly staff meetings - 6; "No pattern" - 3
Staff meetings at sites - 4; Memo - 2; Newsletter - 1; "Osmosis" - 1
Public meetings - 1; Project director announced it - 1.

32. Was there an "institutional" information link for the informational sort of purpose? Yes 11 No 21

(If "Yes") Who was in charge of seeing that it worked? Information specialist - 3
Project director - 4; "No-one" - 2; Superintendent - 1; DK* - 1.

33. In your opinion, did the superintendent know the district people well enough to know who could take added responsibility and who couldn't?

Yes 11 No 14 DK* - 6

*DK = "Don't Know."

34. Speaking only of the Experimental Schools' staffs, were you aware of there being communication problems between the new people brought into the district for the project and those already here working on the alternative schools?

Yes 28 No 3 DK* - 1

(If "Yes") In your opinion, were these problems more, less, or about the same degree as those existing between new and continuing staff in the "regular" program? M 22 L 1 S 5

35. Did you hear, or hear about, the term "cesspool" being used in relation to the group of those staff members who were unassigned just prior to the opening of school and the initial implementation of the Experimental Schools Program? Yes 11 No 20

(If "Yes") Do you recall the reaction of any of those affected by this unassigned status? Can you tell me how they felt? DK* - 1;
Other limited number of responses too crude to record.

36. How was the accountability of the program enforced in BUSD; i.e., who did the superintendent name as being responsible for the Experimental Schools Program and what were that person's powers of enforcement?
Project Director - 29; "Don't know." - 2; "Was no accountability" - 1

Were the powers real, in your opinion, or largely a "paper tiger"?
"Real" - 8; "Paper tiger" - 19; "Don't know" - 2

37. Were there other feedback systems to handle unexpected program snags?

Yes 5 No 23 DK* - 2

"Project director's open door" - 2; memo - 1; Monthly meetings - 1
(If "Yes") What were they? ESP support staff - 2; Group around problem-1

Who had the power to make them work? Project director - 2; site director - 1.

How often did these report sessions take place? "Fairly regularly" -1; DK* - 1.

38. Who supervised the program; i.e., who reported to the superintendent on it and how often?
Who supervised: Project director - 26; "Everyone" - 4; "Assume it was the project director" - 1.
How often?: DK* - 14; Varied - 2; Weekly - 1; Quite often - 1; Fairly regularly - 1; Seldom - 1.

39. Who reported to the superintendent on the status of director and/or teacher training before and during the initial implementation phases of the project?
"No training going on to report." - 15; Project director - 7; "Assume it was project director" - 2; Project director and site director - 1; DK* - 7.

*DK = "Don't Know."

40. In your opinion, considering the parents' "Need to Know", one week in the fall of 1971 was a little short on time to get their cooperation.

AS 17 A 14 D 0 DS 0 DK* - 1

41. Each Experimental School must have stated what it intended to do in terms of educational impact, improvement, etc. What record-keeping program was initiated to determine the degree to which each was doing what they said was intended?

"Did None"- 27

DK* - 4

"This wasn't carried out too well." - 1

Did the superintendent want more than what was provided? Yes 4 No 9 DK* - 11
"Never expressed need."-4; "He must have"-1; "Mixed"-1; "Got that impression" - 1.

If so, did he get it?

"No" - 4; "To some extent" - 1; "It appears he didn't" - 1.

If not, what did he do?

"Changed Associate Director" - 2; "Took care of his own business" - 2;
"Covered up the lack" - 1; DK* - 1.

Who supervised initiating the record-keeping program?

Associate Director for Evaluation - 8
"No-one" - 3; DK* - 5.

At whose direction?

Project director - 7; Washington, D.C. and district - 1

Who was responsible for reporting its findings?

Associate Director for Evaluation - 3; Project director - 2;
Superintendent - 1; "None required" - 1; DK* - 3.

To whom?

H.E.W., Washington - 3;
Superintendent - 2
Superintendent and project director - 1
Superintendent and Washington, D.C. - 1
Project director - 1
Board of Education - 1
DK* - 1

*DK = "Don't Know."